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CONNECTIONS
Build 18 Security for Decision-Making
Training Video

Companion Guide

CONNECTIONS Training Project
SUNY Training Strategies Group

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CONNECTIONS
Security for Decision-Making Video
Companion Booklet

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The Purpose of this Companion Guide

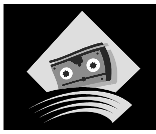
This Companion Guide was developed for use with the *Build 18 Security for Decision-Making* Training Video. The purpose of the training video and Companion Guide is two-fold:

- Providing you with a basic foundation of the CONNECTIONS security structure

- Identifying the key decision points and options available to you as a decision maker to help you make informed decisions in establishing your agency's security structure

The information in the video and Companion Guide is designed to prepare you for the implementation of the new Case Management Model, which will be supported in the CONNECTIONS system in Build 18. Some of the information presented in the training video is also available in the *Security Step-by-Step Guide,* which is posted on the OCFS CONNECTIONS intranet site. You may find it helpful to keep this Companion Guide handy as you view the video.

This Companion Guide provides a fundamental understanding of CONNECTIONS security principles and places them in a context to facilitate decision-making. It follows the structure of the training video, but expands on several issues in order to provide more comprehensive explanations. In contrast, the *Security Step-by-Step Guide* contains detailed instructions for maintaining security in CONNECTIONS once agency decisions have been made to determine necessary and appropriate system access.



In both the video and this Companion Guide, the term "agency" is used to refer to *both* Local Districts and Voluntary Agencies.

The training video and this Companion Guide encompass the support that has been developed by OCFS specifically to help you establish the agency security structures necessary to prepare your agency for Build 18. Other CONNECTIONS trainings are available, including CONNECTIONS Security training; for detailed information about the full variety of available CONNECTIONS trainings, see Appendix G.

As a decision maker, you are responsible for determining the system access necessary to enable your staff to complete their work. The decisions you make regarding CONNECTIONS access will be implemented in the system by your CONNECTIONS Security Coordinator. You may want to view the training video with your agency's Security Coordinator.

What is CONNECTIONS?

The New York State Office of Children and Family Services (OCFS) is responsible for overseeing New York's child welfare system and services. Child welfare services are provided through 58 Local Departments of Social Services (LDSS) and over 350 voluntary and preventive services agencies. Caseworkers and other staff from local districts and voluntary agencies use a case management computer system called CONNECTIONS to document child welfare activities.

The CONNECTIONS system is part of the federal Statewide Automated Child Welfare Information System (SACWIS) initiative. In 1993, the federal government provided financial incentives for states to develop statewide automated child welfare processes in an effort to provide more efficient and effective administration of programs and federal reporting. Many other states have similar systems with other names. By law, a SACWIS program is required to support the reporting data to the Adoption and Foster Care Analysis Reporting System (AFCARS) and the National Child Abuse and Neglect Data System (NCANDS).

CONNECTIONS is designed to become a single, statewide, integrated system for the collection and recording of child protective, preventive, foster care and adoption service information. Currently, CONNECTIONS is used by Child Protective Services caseworkers, as well as caseworkers responsible for the initial certification, approval and maintenance of foster and adoptive homes. CONNECTIONS Case Management (Build 18) introduces over 10,000 new users to CONNECTIONS. These workers—from Foster Care, Preventive and Adoption units in local districts and voluntary and preventive services agencies—will join CPS and Foster Care workers currently using the system. The new case management functionality that will be launched with Build 18 provides a single electronic case record in which workers will record assessments, service plans, and progress notes for a family.

With the implementation of CONNECTIONS Case and Financial Management (Build 19), caseworkers will record placement and legal activities, document financial eligibility, enter service authorizations, and track progress toward adoption finalization using the CONNECTIONS system. CONNECTIONS will become the sole “system of record.” Financial eligibility determinations and service authorizations for Child Welfare Services will be performed in CONNECTIONS instead of in the Welfare Management System (WMS). Information currently collected in the Child Care Review Service (CCRS) system will be processed in CONNECTIONS. CCRS will be kept for historical purposes only.

The *Build 18 Security for Decision-Making* training video explores five key topics:

Build 18 Overview	The first segment explores the features of Build 18 in a broad overview and discusses the way this build will be implemented.
CONNECTIONS Security	The second segment explains the CONNECTIONS security structure and provides some decision points you have in the way you establish security rights for your agency. Knowing what choices are available will help you determine the most effective system security options for your agency.
Security Scenarios	The third segment looks at some scenarios you might be considering, then applies the CONNECTIONS security structure concepts to determine how you can address those scenarios.
Preparation Activities	The fourth segment explores a range of tools and activities that have been designed to help your agency prepare for the implementation of Build 18.
Training and Support Tools	The final segment provides information about training and support tools that will be available to help you and all of your staff prepare for and work with Build 18.

As you watch the video, keep in mind that it is intended as a starting point for your Build 18 preparation. This Companion Guide provides more detailed information about security concepts and scenarios, while the *Security Step-by-Step Guide* (available on the OCFS intranet site) provides more in-depth information about implementing system security.

Build 18 Overview

In Build 18, CONNECTIONS will automate the documentation of New York State's child welfare case management. CONNECTIONS supports an approach to casework practice and case management that is:

- ► evidence-based;
- ► centered on the safety, permanency and well-being of children; and
- ► focused on building family strengths.

CONNECTIONS supports casework practice with families—and the management of those cases—by providing structure and tools for:

- ► conducting family-involved assessments and service plans;
- ► developing concurrent plans for permanency; and
- ► maintaining a focus on progress and outcomes.

There are a number of key features in Build 18:

STANDARDIZED, ELECTRONIC INTAKE

A standardized, electronic Family Services Intake documents the basis for the decision to provide services to a family. The Intake must be completed before a Family Services Stage can be opened. For cases that originate with a CPS report, this functionality provides a "bridge" between the CPS Investigation and the Family Services Stage. Much of the information captured in the Intake carries forward to reduce duplicative data entry. When making intake decisions, assigned staff will be able to view current and historical case information to give them a complete picture of the case.

SINGLE, ELECTRONIC CASE RECORD

The Family Services Stage (FSS) establishes a single, electronic case record, where caseworkers document information about children and families receiving services. Access to the electronic case record is shared among staff who have a role in the case and can be granted to other staff who have a need to view or record case information. This also substantially increases the number of workers accessing CONNECTIONS, since family services staff will begin documenting their casework activities in CONNECTIONS. The FSS is the shell that holds all of the family assessment and service planning. It also supports the recording of information for other common services-related cases, such as out-of-town inquiries, court-ordered investigations and interstate compact matters.

ASSESSMENTS AND SERVICE PLANNING

Assessments and service plans that support New York State's model of strengths-based and outcome-focused practice will replace the paper-based UCR. The Family Assessment and Service Plan (FASP) directly supports New York State's efforts to achieve safety, timely permanency and well-being for children and families. The FASP provides a consistent and helpful structure for guiding staff to conduct and to document thorough and focused assessments of child and family functioning. The FASP also serves as a guide for the development of the plan for needed changes, appropriate services and expected outcomes, and as the documentation of that plan.

CHILD CASE RECORD (CCR)

When a child has been legally freed for adoption and that information is recorded in the system, CONNECTIONS automatically creates a separate, specific case record for that child. Assessment and service planning for the child continue in the Child Case Record (CCR). Every child who has been freed, including those who might not be placed in an adoptive setting, has a separate CCR.

PROGRESS NOTES

Workers assigned to Family Services cases will record Progress Notes directly in CONNECTIONS. These Progress Notes will include a narrative, as well as discrete data fields that provide searching, sorting and filtering capabilities. In order to protect the confidentiality of the source of a report, CPS staff must ***never*** reveal the source's name or any other identifying information regarding the source of a report in their Progress Notes.

INTERFACES

CONNECTIONS will interface with CCRS and WMS to incorporate information from these legacy systems into the CONNECTIONS Case Management system. Once Build 18 is implemented, WMS Services cases will be initiated through CONNECTIONS. The two systems will be kept "in sync" through an ongoing interface. The WMS hierarchy, in which Non-Services data takes precedence, will be maintained and users will be notified of the need to resolve any discrepancies between

CONNECTIONS and WMS data. Any WMS case that is active at the point of Build 18 implementation will automatically convert into a CONNECTIONS case.

Build 18 will provide a broad range of functionality for workers; upon implementation, CONNECTIONS will be the system of record for these new components. As this new functionality is implemented, it becomes even more important to preserve confidentiality, since more workers will have access to case information.

CONNECTIONS Security

While some aspects of CONNECTIONS security are constant throughout the system, elements of flexibility have also been incorporated into the system to help you tailor your staff's access to CONNECTIONS to suit your agency's unique structure and needs.

The development of a single electronic case record, in which multiple workers will be documenting information, emphasizes the need to protect the confidentiality of this information to preserve families' privacy rights. For this reason, access to information in CONNECTIONS—and the ability to update that information—is shared on a need-to-know basis. Each agency has a considerable amount of discretion in establishing access to case information within the agency. CONNECTIONS provides a security infrastructure with sufficient flexibility for customizing this access.

It is *everyone's* responsibility to maintain the confidentiality of information in the CONNECTIONS application!

The Build 18 CONNECTIONS security is designed to protect the confidentiality and privacy of the information contained in the application, in a manner consistent with applicable law. Staff must be aware of and, at all times, comply with statutory and regulatory confidentiality standards applicable to child welfare records. Build 18 will allow Security Coordinators to give the necessary access to those staff who have a need to view or maintain case or staff information, and to be able to deny access to those staff who do not have a "need to know." It is very important that the confidentiality of all CONNECTIONS information is protected at all times and that access is only given to persons who have a need to know such information to complete their job responsibilities. Users must only receive the minimum access to the applications and privileges that are required to perform their jobs.

Remember: An important task of the Security Coordinator is a regular review of staff access to be sure that staff who have changed positions or left the agency do not retain access that they no longer need.

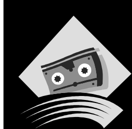
CONNECTIONS provides a number of features to help protect access to case information to help assure confidentiality. These features fall into three main categories:

- Roles
- Business Functions
- Agency Access

Let's take a closer look at each of these features—as they currently exist and how they will function in Build 18.

ROLES

The substantial increase in the *number* of workers accessing CONNECTIONS with Build 18 also includes more workers who will have a role in a specific services case. Workers with a role in a case will have access to virtually all case information, including CPS information for in-process (formally known as "under investigation") and indicated investigations. The exception to this is the name of the source of the report, which will not be viewable by non-CPS staff. However, CONNECTIONS cannot block viewing of the source name if the CPS worker violates policy and law and records the name or other identifying information in Progress Notes, thereby making it available to others with a role in the case. Security Coordinators need to establish a clear and enforced policy within their respective districts that the name of the reporting source may ***never*** be entered into Progress Notes.



The video and this Companion Guide refer to "in process" investigations when describing CPS Investigation stages that have not yet been determined (either indicated or unfounded). These stages are formally known as "under investigation."

Currently, workers who have a role in a CPS case can access all information in that case. CPS stages are assigned Primary workers and, when appropriate, Secondary workers.

With the implementation of Build 18, staff can be assigned one of four new roles in a Family Services Stage:

Case Manager Every FSS will have a single Case Manager, who *must* be Local District staff. The Case Manager provides oversight of the case and must approve the Family Assessment and Service Plan (FASP). If the Case Manager is the same person as the Case Planner, the Case Manager's Unit Approver must approve the FASP.

Case Planner The Case Planner, who may be either Local District or Voluntary Agency staff, is responsible for the coordination of work with a family. The Case Planner is also the author of the FASP and is responsible for the entirety of its contents and the timeliness of its submission to the Case Manager for approval. There can be only one Case Planner in an FSS.

Caseworker

Caseworkers may be either Local District or Voluntary Agency staff. Caseworkers may also be Associated to a specific child or children in the FSS and can complete specific work within the FASP regarding the children to whom they are associated. There can be multiple Caseworkers assigned to an FSS.

CPS Worker/ Monitor

The CPS Worker/Monitor, who *must* be Local District staff, is responsible for overseeing case activities when:

- the case was opened from an indicated CPS Investigation; and
- ongoing protective concerns have been identified; and
- the Child Protective Services worker is not the primary service provider for the case.

These activities include reviewing safety-related and risk-reduction actions and activities, determining that appropriate services are being provided, and modifying the service plan when the child's or family's progress has been insufficient to meet the desired outcomes identified in the plan. The system supports, but does not require, review of the FASP by a CPS Worker/Monitor.

Each of these roles will have specific access to view, maintain and use case information. The table at the top of the next page briefly illustrates this access.

Role	FASP Viewing	FASP Recording	FASP Assembly & Submission	FASP Approval
Case Manager†	✓			✓
Case Planner	✓	✓	✓	
Caseworker‡	✓	✓		
CPS Worker/Monitor*	✓	✓		

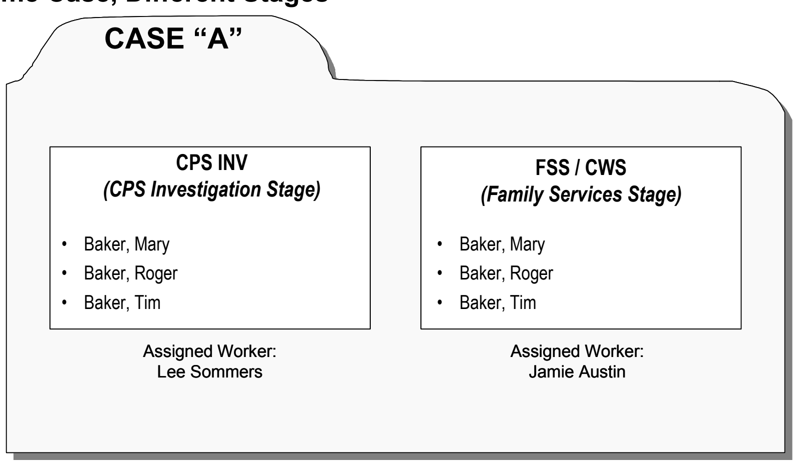
† *If the Case Manager is the same person as the Case Planner, the Case Manager's Unit Approver must approve the FASP.*

‡ *If the Caseworker is Associated to a specific child or children, that Caseworker can complete certain work in the FASP for the child(ren), to the exclusion of all other Caseworkers who are assigned to the Family Services Stage. The Case Planner can access and modify any information in the FASP.*

* *The CPS Worker/Monitor can record only very limited information in the FASP, such as the CPS Investigation-based Risk Assessment.*

System access can include the ability of assigned services staff to view CPS information in the case, since that information can directly affect services planning.

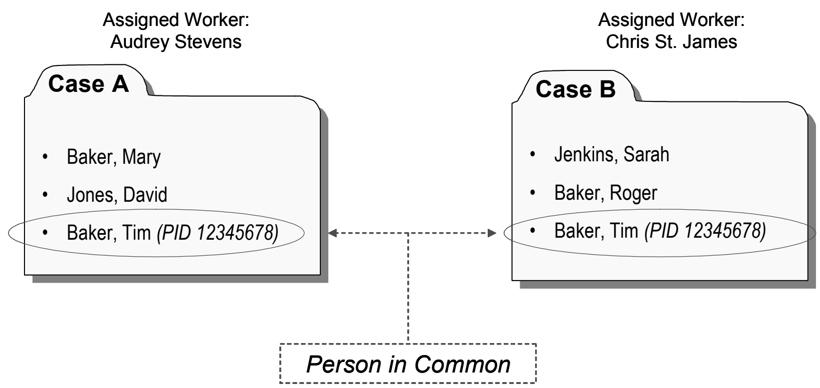
Assigned Role:
Same Case, Different Stages



The graphic at the bottom of the previous page shows two different stages—the CPS Investigation stage and the Family Services stage—within the same overall case. In this example, the family services worker can view the CPS information in the Investigation stage. Keep in mind that in this scenario, the family services worker can only view the CPS information for in-process (formally known as "under investigation") and indicated investigations.

Implied Role:
Different Cases

By contrast, a worker assigned to a case in the same or another agency has an *implied* role if there is a person in common in two different cases. Workers with implied roles have view-only access to information in the other case, since it may be pertinent to their case.



The graphic above shows two separate cases with a "person in common"—meaning that the same person, with the same CONNECTIONS-generated Person ID, exists in both cases. In this example, the worker in Case A has an implied role (and can view information) in Case B because there is a person in common in both cases. Likewise, the worker in Case B has an implied role in Case A.

BUSINESS FUNCTIONS

There are times when it is appropriate for an individual who does *not* have a role in the case to access or update information. For example, some agencies have clerical staff record Progress Notes in CONNECTIONS on behalf of caseworkers. This access can be provided through the use of Business Functions.

What are Business Functions?

Each worker is assigned Business Functions that provide system access to view or maintain information. Each Business Function is designed to allow a worker to perform a particular function or group of functions. Each Business Function is comprised of one or more Security Attributes.

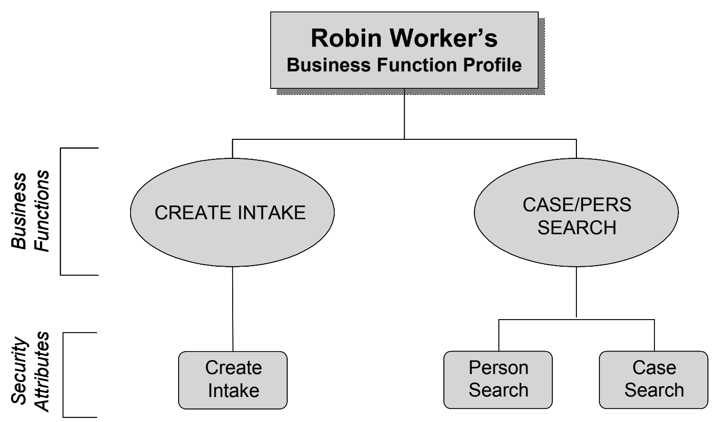
What are Security Attributes?

Outside of (or in addition to) having a role in the stage, Security Attributes are another way in which access to CONNECTIONS information is given. Each Security Attribute allows access to a particular window, dialog or functionality in CONNECTIONS.

What is a Business Function Profile?

The combination of your assigned Business Functions creates your unique Business Function Profile (or BFP).

The graphic below provides an example of a worker who has been assigned two Business Functions: CREATE INTAKE and CASE/PERSON SEARCH. The combination of these Business Functions comprises this worker's unique BFP.



Notice that the CREATE INTAKE Business Function contains one Security Attribute, while the CASE/PERSON SEARCH Business Function contains two Security Attributes: Person Search and Case Search.

Before assigning a Business Function, you should know what Security Attributes it contains. This will help you determine which Business Function best serves your agency's needs with respect to that particular worker.

State OCFS staff *create* Business Functions, while local Security Coordinators *assign* these Business Functions to workers.

OCFS issues guidelines that include definitions of each assignable Business Function. These guidelines help districts and agencies make appropriate decisions regarding the assignment of Business Functions.

Bundled Security Attributes

Certain types of workers may need to perform a variety of functions. CONNECTIONS provides Bundled Security Attributes that correspond to a pre-set Business Function, which gives these workers the ability to complete most routine, necessary tasks. By assigning a Business Function comprised of Bundled Security Attributes, the Security Coordinator can provide the necessary Business Functions to a worker all at once, rather than adding each Business Function separately.

The table below provides an example of Bundled Security Attributes for the CPS CASEWORKER Business Function.

Example of Bundled Security Attributes CPS CASEWORKER *(Business Function)* contains these Security Attributes:	
Access All in District	View Call Log
Case Search	View Indicated
Person Search	View Reporter/Source
Preliminary Clearance	View Under Investigation
View Admin Review	View Unfounded

Looking at this list of Bundled Security Attributes, you might be wondering what Security Attributes someone assigned the CPS CASEWORKER Business Function might still need to use that are not included in this Business Function.

For example, the ability to perform more complex functions, like Person Merge/Split, is not included in this Business Function. But you can add specific Business Functions to a worker's BFP to enable that worker to perform any additional functions.

The example in the table above shows an *existing* Business Function that is comprised of Bundled Security Attributes for CPS caseworkers. Build 18-specific Bundled Security Attributes will be available just prior to implementation.

> **Keep in mind that workers who have an assigned role in a stage can perform routine, necessary tasks for that stage *without* needing additional Business Functions.**

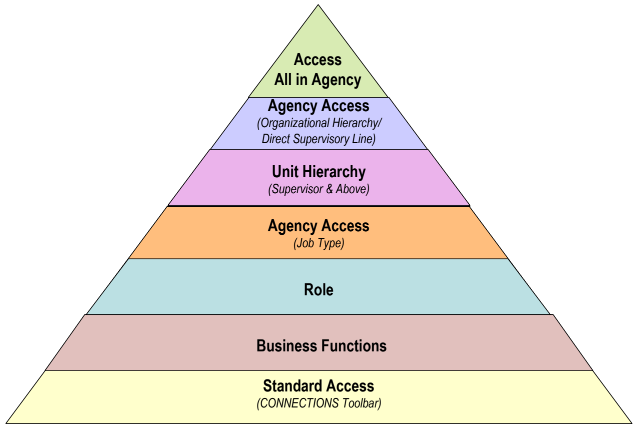
The concepts of Role and Business Functions have existed in CONNECTIONS from its beginning. The ability to provide specific Agency Access was incorporated more recently.

AGENCY ACCESS

Agencies come in different sizes, each with its own unique needs and structure. For this reason, CONNECTIONS enables agencies to tailor their system access to meet their specific needs. Two significant security features help provide this flexibility: Agency Access and Organizational Hierarchy.

Agency Access	Organizational Hierarchy
Agency Access is access that is given by specific permissions based on staff grouping and role.	Organizational Hierarchy is access that is given based on a unit's position within an organization. Organizational Hierarchy works in conjunction with Agency Access.

CONNECTIONS provides this flexibility to enable each agency to establish the specific security structure it needs at the agency's own discretion. Not every agency will want or need to use these functions.

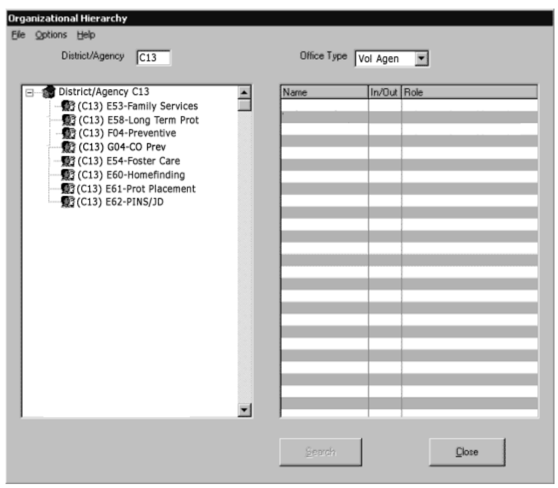


Organizational Hierarchy

You can structure your organizational hierarchy in CONNECTIONS to reflect the actual structure of your agency.

The *Organizational Hierarchy* window provides an organizational chart of an agency and its corresponding units. Changing a unit's position within the organizational hierarchy can grant implicit security access rights and the ability to view or modify information to individuals at higher management levels.

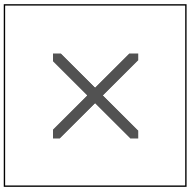
The graphic below shows the default view of the *Organizational Hierarchy* window *before* any changes have been made.



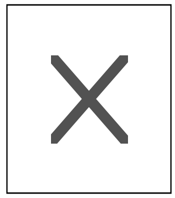
For detailed information about the *Organizational Hierarchy* window, see “Direct Supervisory Line” on page 18.

Agency Access

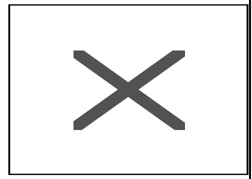
Agency Access can be given to staff based on a number of factors:



Case-Assignability
including Job Type



Unit Approver
including Unit Specialization



Direct Supervisory Line

Agency Access can be established to provide view-only, maintain or no access for each of these factors.

Case-Assignability (Including Job Types)

In order for a worker to be eligible to receive assignments in CONNECTIONS, that worker must first be made **Case Assignable** on the *Staff Detail* window. By default, new staff who are added to CONNECTIONS are not Case Assignable.

Agencies have the option of assigning **Job Types** to their staff, which can provide system access that more closely mirrors the practical application of work in the field.

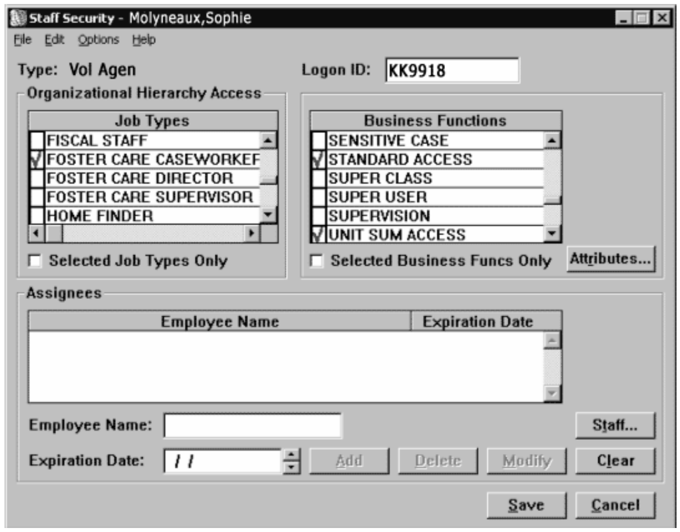
What’s a Job Type?

A **Job Type** is a category designation on the *Staff Security* window that can allow access to the *Assigned Workload* of other workers with the same Job Type, *if the agency opts to establish Agency Access to allow that.* For example, someone who has been assigned a Job Type of “Foster Care Caseworker” could have access to the *Assigned Workload* of all other Foster Care Caseworkers in the agency, *if the agency chose that option*.

A worker can be assigned multiple Job Types or no Job Types. Providing access through Job Types requires two steps:

- First, assign appropriate Job Types to individual staff.
- Then, establish access via the *Agency Access* window.

Job Types generally correspond to the functions of the Office Type. The example below illustrates some of the Local District Job Types; the list for Voluntary Agencies contains many of the same Job Types.



Each Job Type falls into one of two main categories: clerical and non-clerical. Case Manager and Caseworker are examples of non-clerical Job Types, while Support Staff and Clerical Staff are examples of clerical Job Types. If no Job Type is assigned, the worker is classified as "Clerical Staff."

Only through Agency Access can Job Types be used to determine system access. For example, your agency might decide to grant system access to all agency staff who have been assigned a specific Job Type, such as Foster Care Supervisor.

Agency Access that is established "Within the same Job Type" provides agency-wide access among *each* respective Job Type that has been assigned. You cannot establish Agency Access to affect *some* Job Types, but not others.

However, you *can* opt to assign Job Types for some types of workers, but not for others.

Unit Approver (Including Unit Specialization)

The **Unit Approver** is a specific role within the unit. All units in CONNECTIONS must have a designated Unit Approver. Agency Access can be established to allow access based on whether or not a person has been designated as a Unit Approver.

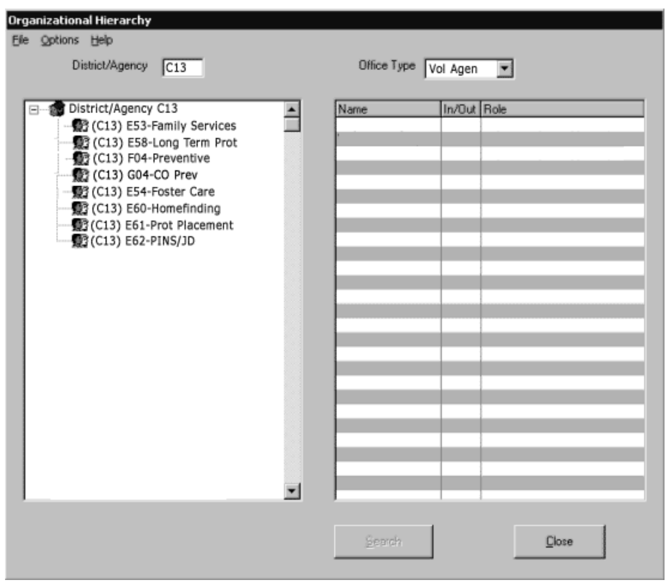
The Unit Approver is used predominantly in CPS and FAD stages. In Family Services Stages, the Unit Approver is used automatically ***only*** when the Case Manager and Case Planner are the same person; in this specific circumstance, the Case Manager/Case Planner would submit the FASP to the Unit Approver for review and approval.

Direct Supervisory Line

The *Agency Access* window works in conjunction with the *Organizational Hierarchy* window to provide access along a Direct Supervisory Line.

By providing access along the Direct Supervisory Line, the agency can allow view or maintain access to individuals in the hierarchy who are in a direct line above a particular worker who has a role in the Family Services Stage. Without this access, these individuals would only be able to view or maintain this information if they had a role in the case or were within the unit hierarchy.

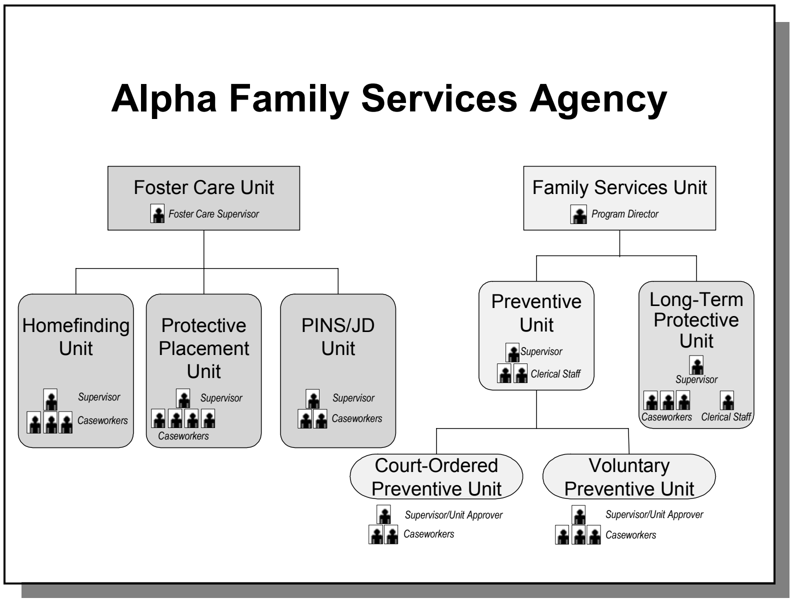
Page 15 displayed the following graphic of the *Organizational Hierarchy* window before any changes have been made:



Let's look at an example of how the information on the *Organizational Hierarchy* window changes when you establish or change the Organizational Hierarchy for your agency.

Organizational Hierarchy affects *whole* units *and* their staff.

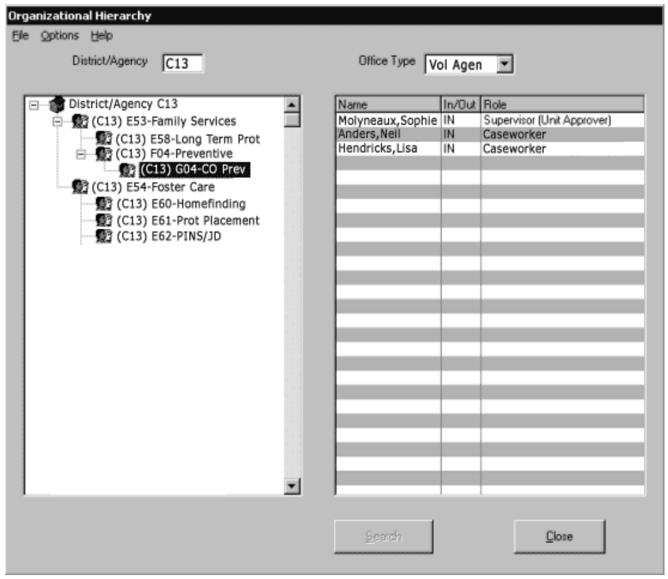
In CONNECTIONS, a unit can have as few as one person in it.



In the example above, Alpha Family Services Agency has a Foster Care Unit and a Family Services Unit.

- The Foster Care Unit, which has the Foster Care supervisor as its sole member, oversees three units: Homefinding, Protective Placement and PINS/JD.
- The Family Services Unit oversees Preventive and Long-Term Protective Units. The Preventive Unit, in turn, oversees a Court-Ordered Preventive unit and a Voluntary Preventive unit.

The agency can opt to arrange the units on the *Organizational Hierarchy* window to match this structure. The graphic at the top of the next page shows how this structure would look on the *Organizational Hierarchy* window.



This is a simplified example; your agency's structure will probably be much more complex. A more expansive agency structure example is illustrated in Appendix I.

Agency Access & Organizational Hierarchy: Working Together

Agency Access and Organizational Hierarchy work together to affect agency-wide access to information. The following examples are based on Alpha Agency's Organizational Hierarchy and the options they selected to establish Agency Access. (Refer back to Alpha Family Services Agency's organizational structure on page 19.)

Example A: If Agency Access was established to provide **Maintain** access to all **non-clerical staff** in the **Direct Supervisory Line**, a Social Worker in the Family Services Unit would be able to view and update information in a case that is assigned to a worker in the Court-Ordered Preventive Unit.

Example B: If Agency Access was established to provide **View** access to all **clerical staff** in the **Direct Supervisory Line**, a support staff person in the Family Services Unit would be able to view information in a case that is assigned to a worker in the Long-Term Protective Unit; however, the clerical worker would *not* be able to modify any of the information.

These are only two basic examples. Appendix B contains the Agency Access Options Matrix, which illustrates all of the possible combinations of access available on the *Agency Access* window.

> **All access through the Direct Supervisory Line is completed via the *Unit Summary* window.**

As you can see, the *Agency Access* and *Organizational Hierarchy* windows provide significant flexibility to tailor system access to suit your agency's specific business structure.

Now that we've established a conceptual foundation regarding these security features and how they work, let's look at how, *and even whether,* you should use them.

Tailoring Your Agency's System Structure

The process of tailoring your agency's system structure involves as many as three steps, depending on the decisions you make:

- Planning
- Organizational Hierarchy
- Agency Access

Phase I: Planning

The first step in the customization process is always the planning phase. Look at how your agency does business. What kind of case information do various staff need to access? Do they simply need to look at the information, or do they need to be able to update it as well?

Based on this information, work with your Security Coordinator to determine whether or not you want or need to set up Organizational Hierarchy and Agency Access in CONNECTIONS.

Not every agency will want or need to tailor system access for their workers. Some agencies may want to use all of these features to customize their system access, while others might only use some of them. Still other agencies may not need to use any of these features.

For example, if you're not planning to provide Agency Access through the Direct Supervisory Line, you don't need to set up the Organizational Hierarchy. If you're not planning to provide Agency Access through Job Types, you don't need to set up Job Types.

With so many options available, the planning phase becomes that much more important, because the security structure you establish affects system access for your entire agency. You can also modify this structure, if necessary, as the needs of your agency evolve. The planning phase drives the next phase.

All agencies should review and, as necessary, update their existing system security structure to make sure it supports their current business needs.

Phase II: Establishing the Organizational Hierarchy

In the second phase of security customization, if applicable, you will establish your agency's Organizational Hierarchy in CONNECTIONS. Your need to complete this phase depends on the decisions you made in the planning phase.

Phase III: Establishing Agency Access

The final phase of customizing system security involves establishing Agency Access to provide view or maintain access, if your agency chooses to do so.

The *Agency Access* window contains three main sections for system access:

- Case Assignable Staff
- Unit Approver
- Direct Supervisory Line

The Agency Access Window:
Case Assignable Staff Section

The Case Assignable Staff section of the *Agency Access* window works in conjunction with the **Case Assignable** check box on the *Staff Detail* window, the unit to which the worker is assigned, and the worker's Job Type.

Three staff groupings are included in the Case Assignable Staff section and provide access to *all* case-assignable staff:

- **All Within District** provides access to all Family Services Stages in that agency.
- **All Within Unit** provides access to all Family Services Stages in the same unit as the assigned worker.
- **All Within Job Type** provides access to all Family Services Stages that are assigned to staff with the same Job Type in the same agency as the assigned worker.

The Agency Access Window:
Unit Approver Section

The Unit Approver section of the *Agency Access* window includes two staff groupings:

- **All Within District** provides access to all Family Services Stages in the agency for all Unit Approvers.
- **All Within Same Unit Specialization** provides access to all Family Services Stages within the same unit specialization as the user. Unit specialization reflects the primary function of a particular unit, such as "Adoption" or "Preventive"; this information is maintained on the *Unit Detail* window.

If your agency is a Local District, you need to review and, as necessary, update any Unit Specializations that may previously have been recorded in CONNECTIONS.

The Agency Access Window:
Direct Supervisory Line Section

The Direct Supervisory Line section of the *Agency Access* window works in conjunction with the *Organizational Hierarchy* window.

Two staff groupings are included in this section:

- **All Staff** provides access to all Family Services Stages in the agency for everyone in the Direct Supervisory Line.
- **All Non-Clerical Staff** provides access to all Family Services Stages in the agency for everyone in the Direct Supervisory Line who has been assigned a non-clerical Job Type, such as “Home Finder” or “Supervisor.” Staff who are not assigned a Job Type are automatically classified as “clerical.”

If you establish Agency Access via the Direct Supervisory Line, you need to set up your Organizational Hierarchy in CONNECTIONS first, since Direct Supervisory Line access looks at the Organizational Hierarchy to determine which units are in a Direct Supervisory Line.

The Job Type, Organizational Hierarchy and Agency Access components were implemented in CONNECTIONS Build 17. That Build provided the increased security infrastructure needed for the effective implementation of Build 18 and the ongoing maintenance of case management.

You’ve seen an overview of the security features available in CONNECTIONS and the three components that affect access to system information:

- Role
- Business Functions
- Agency Access

We’ve also broken it down further and explored factors like Job Types and Organizational Hierarchy to see how you can customize system access to meet your agency’s specific needs.

The next section applies these features to some specific scenarios, in order to show you how you can tailor system access to the unique composition of your agency.

Security Scenarios

In order to make appropriate decisions regarding staff access to case information, you need to understand how the choices you make affect your staff's ability to complete their documentation responsibilities in CONNECTIONS.

This segment applies some of the security concepts we've covered so far to specific situations you may have in your own agency.

The previous section mentioned the importance of developing a plan for system access, based on your agency's structure and business processes. Your decisions regarding scenarios like the ones presented in this section should be based on the plan you developed to determine your agency's system access needs.

How do I support higher-level management's need to access (and possibly update) cases within their purview?

This is a two-step process:

- First, establish your Organizational Hierarchy to accommodate the need for higher-level management access to case information.
- Then, establish Agency Access to provide view or maintain access to everyone in a unit's direct supervisory line.

Remember, the *Organizational Hierarchy* window works together with the *Agency Access* window and should be completed before maintaining the *Agency Access* window. See "Agency Access & Organizational Hierarchy: Working Together" on page 20 for more information.

How do I support unit-type operations, such as workers maintaining cases for one another within units and across units?

You can accomplish this in a number of ways. We can break this down into three approaches; each approach provides access to a specific group:

- Workers within the same unit
- Workers across units
- Unit Approvers with the same Unit Specialization

The common denominator among all three approaches is the *Agency Access* window. First, though, let's look at each approach individually.

The first approach enables all workers within each unit to access cases *within* their respective units. Use the Case Assignable Staff section on the *Agency Access* window and select the desired access in the All Within Unit field.

For the second approach, let's say your agency has multiple units to which Foster Care Caseworkers are assigned. You can permit access to all foster care cases across these units by assigning each of the workers the Job Type of "Foster Care Caseworker" on the *Staff Detail* window; then, in the Job Type section on the *Agency Access* window, select access for the All Within Job Type field.

For the third approach, let's say you want to provide access to preventive services cases for all of your preventive services supervisors, who, in this example, are in separate units.

You first need to make sure that accurate Unit Specialization information has been recorded on the *Unit Detail* window. On the *Agency Access* window, select access for the "All Within Same Unit Specialization" field in the Unit Approver Section.

Remember, for every type of Agency Access you want to establish, you can specify "View" or "Modify" access. You can even specifically deny access by selecting "None."

These three approaches illustrate the remarkable flexibility of the CONNECTIONS security structure, enabling you to customize access to case information within your agency, based on your agency's unique needs.

How do I support the need for some workers to fill in temporarily, such as when a worker goes on vacation or is out for extended medical leave?

CONNECTIONS allows workers to transfer their Business Functions to other workers for a specified amount of time. Workers who temporarily assign their Business Functions to others are called "Assignees." Workers to whom Assignees temporarily give their Business Functions are called "Designees."

Assigning Designees is a *temporary* process and includes an expiration date. This differs from Organizational Hierarchy, which remains in effect until it is actively changed on the *Agency Access* or *Organizational Hierarchy* window.

How do I support the need of supervisors to review and approve the work of the staff in their units?

We're actually talking about two different types of review in this scenario. CONNECTIONS provides a formal review and approval process, which differs from the internal supervisory review policies and procedures that agencies will want to continue from their current efforts.

- The formal approval process for FSS stages involves the Case Planner submitting the completed FASP to the Case Manager for review and approval. If the Case Manager is the same person as the Case Planner, the Case Manager's Unit Approver is responsible for reviewing and approving/rejecting the FASP.
- In addition, most agencies will establish internal policies and procedures for supervisory review before the completed FASP is submitted by the Case Planner to the Case Manager for approval. CONNECTIONS supports this need by providing the Caseworker with the ability to create a Reminder To-Do, or the Supervisor may be able to view the FASP from the Caseworker's *Assigned Workload* via the *Unit Summary* window (depending on the established security structure).

The examples used above refer specifically to the FASP, but this process exists in other areas of CONNECTIONS as well.

A "Submit for Review" function exists in the Family Services Intake to enable the Unit Approver in a particular worker's unit to review the FSI before it is submitted to the Local District for acceptance.

An agency can also provide Agency Access through the Direct Supervisory Line, enabling supervisors to view FSS work assigned to their staff members. This is a more efficient manner for allowing supervisory review for FSS stages by a supervisor who does not have a role in the case.

Supervisors who need to review their staff's work must be assigned the UNIT SUMMARY ACCESS Business Function *and* be in the Unit Hierarchy of their staff.

In some agencies, a worker may perform a fairly broad range of activities; in other agencies, workers may perform specialized functions. Specialization naturally lends itself to a specific security structure.

How do I support specialized functions?

You can assign specific Business Functions to meet certain needs. Generally, these tend to fall into three categories:

- ***Routine functions performed by workers without a role in the stage***
  For example, you can assign the ENTER PROG NOTE Business Function to a staff member, which enables that worker to record Progress Notes for a stage, even though that worker does not have a role in the stage.

- ***More complex duties that require more in-depth knowledge***
  For example, you can assign the CASE MERGE/SPLIT Business Function to enable a worker to merge and split cases in CONNECTIONS to eliminate unnecessarily duplicative case information or to separate cases that were merged in error.

  Another example would be the assignment of the ACCESS SEALED ADOPT (Access Sealed Adoption) Business Function to enable a worker to view information for a child whose adoption has been finalized.

  These are examples of Business Functions that should be assigned only after very careful consideration; in the first example, because the ability to merge and split cases directly affects the case data in CONNECTIONS; in the second example, because the ability to access sealed adoption information must not compromise the privacy rights of the adopted child.

- ***Review capability by a Third Party***
  In this context, the Third Party is someone who is outside of the Agency's Direct Supervisory Line for that case, but in the same agency. For example, you can assign the ACCESS SPR (Access Service Plan Review) Business Function to enable a third-party reviewer (or clerical staff) to access the Service Plan Review module to schedule meetings or record the third-party narrative; it does *not* allow access to or review of the FASP or any other area of a Family Services Stage. For example, a third-party reviewer in a Local District can access the Service Plan Review in that district's cases; a reviewer at a Voluntary Agency can only view the Service Plan Review for that agency's cases, not the district's cases.

Remember, a worker who has a role in the case can perform routine, necessary functions without needing additional Business Functions.

Preparation Activities

So far, we've addressed preparing your agency's *security structure* for Build 18. Preparing your *agency* for Build 18 will help smooth the transition to CONNECTIONS for your staff.

OCFS has developed a coordinated series of activities designed to support the successful integration of CONNECTIONS Build 18. This approach relies on a partnership among OCFS, Local Districts and voluntary foster care and preventive services agencies to provide staff with the operational support needed to make effective and efficient use of CONNECTIONS functionality.

With so much being implemented in CONNECTIONS, it's definitely to your advantage to begin preparing for the implementation of Build 18 as soon as possible. You may have already started this process. This segment looks at some specific strategies you can put into action in preparation for Build 18.

Due to the extensive changes that Build 18 will bring to CONNECTIONS, there are a number of preparatory security activities you'll want to begin as early as possible to facilitate a smooth transition to Build 18:

- ***Increasing Security Maintenance Staff***
  Agencies may need to increase the number of staff responsible for maintaining security, in light of the increased number of staff who will become active users of CONNECTIONS when Build 18 is implemented.

  Agencies may also need to initiate inputting—or, as needed, cleaning up—security information well enough in advance of implementation to enable staff to access their cases.

- ***End-Dating Staff, as Necessary***
  Agencies should also end-date staff who no longer require access to CONNECTIONS, as well as end-date *and remove access to NT* for staff who have left the agency.

- ***Availability of Pre-Build 17 Security Features***
  The pre-Build 17 security features will still be available for all

CONNECTIONS stages—for example, CPS, FAD, FSI and FSS—regardless of whether the agency decides to use the *Organizational Hierarchy* or *Agency Access* windows.

- ***Expanded Access to System Information***
  Remember that with the implementation of Build 18, Local District and Voluntary Agency staff who work with a family will share a single electronic case record. Information recorded into Intakes, Assessments, Service Plans and Progress Notes will be viewable in real time by all workers who are assigned a role in the case or who are granted access through the enhanced security features, such as specialized Business Functions. In specific circumstances, such as sensitive cases, unfounded CPS investigations and cases involving sealed adoptions, specific Business Functions are required to view certain case information. This should be taken into account as part of developing your agency's CONNECTIONS security structure.

Here are some recommendations to help prepare your agency for implementation:

- ***Security for Decision-Making Training Video***
  Orientation for Managers & Regional Forums
  Managers and other decision-makers should view this training video, in addition to attending the Regional Forum sessions, which are being conducted in each region well in advance of implementation. You may also have already attended the Build 18 Orientation session for Managers.

- ***Impact Analysis &***
  Security for CONNECTIONS Case Management Self-Assessment
  Agencies should review the Impact Analysis, then complete the Security for CONNECTIONS Case Management Self-Assessment. Both of these materials are available on the OCFS intranet site.

- ***Security Coordinator Training***
  Experienced Security Coordinators should have attended the Build 17 training. Staff who are new to the Security Coordinator role should attend the CONNECTIONS Security training, which includes the Build 17 enhancements.

- ***Reports***
  Managers and Security Coordinators should become familiar with the reports available in the OCFS Data Warehouse. These reports support security data clean-up activities by identifying all

of an agency's staff by unit with their assigned Business Functions.

- ***WMS/CCRS ⇔ CONNECTIONS Conversion Preparation***
  Agencies should organize an effort to enter—or, as needed, clean up—CONNECTIONS security data for staff who perform ongoing services. In particular, make sure that WMS/CCRS IDs for staff are accurately reflected on the CONNECTIONS *Staff Detail* window. This is necessary to direct WMS/CCRS cases that are converted to CONNECTIONS FSI/FSS stages to the appropriate assigned workers when Build 18 is implemented.

  Since Voluntary Agencies cannot access CCRS, they need to communicate with their Local Districts to verify that accurate Voluntary Agency worker information is recorded in CCRS. This will enable CCRS cases to display after conversion on the appropriate Voluntary Agency worker's *Assigned Workload*.

- ***Agency Policies & Procedures***
  Finally, administrators should review agency confidentiality and data security policies and procedures in anticipation of the expanded sharing of information that will occur in the CONNECTIONS Case Management system.

This chapter has looked at a variety of activities you can put into effect to facilitate a smooth transition to Build 18. But what about all of your staff? OCFS is developing a number of training and support tools to help you and your staff. We'll look at that next.

Training and Support Tools

To support the training necessary to get everyone up to speed on Build 18, a number of tools will be available:

- ***Case Management Step-by-Step Guide***
  A Step-by-Step Guide is being developed to provide workers with detailed instructions about the system functionality contained in Build 18, along with a casework context for those instructions. The Step-by-Step Guide will be distributed to participants at specific CONNECTIONS Build 18 system trainings.

- ***Planning & Preparation Tools***
  OCFS has developed a number of planning and preparation tools designed to assess your agency's business processes and

workers' computer skills. In addition, a list of preparation tools is included in Appendix E.

- ***Live Training***
  Programmatic practice training and CONNECTIONS system training will precede each wave of implementation.

  Programmatic practice training will be provided by the Center for the Development of Human Services (CDHS) at Buffalo State College.

  A variety of CONNECTIONS system trainings will be provided by the CONNECTIONS Training Project, Training Strategies Group (TSG), Research Foundation of SUNY. Each training will address the specific needs of different audiences. Some of these trainings will be conducted in CONNECTIONS training labs, while others will be held in larger classroom settings.

  In addition to the Build 18-specific trainings, TSG also provides ongoing operational CONNECTIONS system training on a variety of topics.

  (See Appendix G for a complete list of CONNECTIONS system trainings.)

- ***OCFS CONNECTIONS Intranet Site (Security Page)***
  The Security page of the OCFS CONNECTIONS intranet site includes the *Security Step-by-Step Guide* and Build 17 Business Functions Guidelines.

- ***CONNECTIONS Security Training***
  A specific CONNECTIONS Security training, provided by SUNY TSG, provides in-depth CONNECTIONS application training developed specifically for Security Coordinators.

- ***Preview Application***
  The Preview Application will be available just prior to implementation to provide an advance look at the changes in Build 18.

- ***Release Notes***
  Finally, Release Notes will arrive via e-mail, providing a more technical overview of the elements in Build 18.

- ***On-Site Assistance***
  During implementation, a team of specialists will be available to

provide technical assistance to workers at your site for a specific period of time. In addition, agencies can designate individuals to be Resource Users, who can attend intensive Resource User training to enable them to provide assistance to their colleagues regarding the CONNECTIONS application.

As you and your staff work with the new functionality, you should also know that CONNECTIONS Online Help continues to be updated to guide you.

Summary

Build 18 continues OCFS's efforts to improve the CONNECTIONS system to support child-centered, family-focused casework practice, as well as to comply with legal and regulatory requirements.

We hope you have found the training video and this Companion Guide helpful in preparing you for the new Case Management Model, as supported in CONNECTIONS Build 18. We look forward to seeing you and your staff at the upcoming programmatic training sessions and CONNECTIONS system training sessions for Build 18.

If you would like additional copies of the video and this Companion Guide, contact:

CONNECTIONS Training Project
SUNY Training Strategies Group
1-877-451-4835

Ask for the *CONNECTIONS Build 18 Security for Decision-Making Training Video and Companion Guide*.

If you have any questions regarding your preparation activities for Build 18, or about the information in this training video, contact your Regional Field Support Staff. You'll find a contact list on the OCFS CONNECTIONS Website. (See Appendix D.)

Appendix A:
Glossary

Access	The user's ability to view or maintain information.
Agency Access	Access that is determined by specific permissions based on a staff grouping (e.g., All in Agency, All in Unit, All Non-Clerical Staff) and role (i.e., case-assignable staff, Unit Approver, direct supervisory line).
Assignee	A worker who assigns his/her Business Functions to another person (known as a Designee).
Business Function	Business Functions (BFs) are used by the local Security Coordinator to maintain security and grant CONNECTIONS access to workers. BFs are comprised of Security Attributes to allow access to a particular window, dialog or functionality. Each BF is designed to allow a worker to perform a particular function or group of functions.
Business Function Profile (BFP)	The complete listing of all Business Functions assigned to a person.
Business Process Analysis & Redesign	Prior to the introduction of new functionality, districts and agencies should examine their current business processes to determine if there is a need to revise procedures and workflows in order to take full advantage of new features in the system. This process is referred to as the Business Process Analysis and Redesign.

Data Integrity	Leading up to a build, it may be necessary to clean up data in the legacy system or within CONNECTIONS in order to take maximum advantage of the functionality to be released. The CONNECTIONS Project will provide districts and agencies with clean-up reports, along with instructions about what needs to be done. These reports are designed to help identify potential data issues and focus effort where it is most needed.
Designee	A worker who assumes the Business Functions of another person (known as an Assignee).
Impact Analysis Document	A document developed to help districts and agencies prepare for builds and new functionality. Each document focuses on a specific functional area in the system and explains how it is impacted by the new design. The analysis includes a brief description of current functionality (or current manual process) and outlines for the user what will stay the same and what will change with the build. In addition, system and program implications and considerations are reviewed and summarized.
Implementation Coordinator	The liaison between CONNECTIONS Project staff and the staff from your agency for all communications concerning CONNECTIONS.
Job Type	A category designation on the *Staff Security* window that can allow access to the *Assigned Workload* of other workers with the same Job Type. (For example, someone designated as a Foster Care Caseworker could have view access to all other Foster Care Caseworkers' workloads in the agency, if the agency chose that option).
Maintain	Access that allows a worker to add, modify or delete data.

Office Type	OCFS (State), Regional Office, Local District, Voluntary Agency, DFY (Division for Youth), CCF, CQC, OMH, OMRDD.
Organizational Hierarchy	Access that is determined by a unit's position within an organization.
Role in a Case	The role assigned to a staff person to work on a case (or on a stage in a case).
Security Coordinator	CONNECTIONS uses a decentralized approach in which each agency controls the security assignments for its own staff. The Security Coordinator is the person responsible for managing an agency's security assignments. Each agency should have a designated Security Coordinator and a back-up Security Coordinator.
Self-Assessment Tool	A tool designed to help local districts and agencies identify significant programmatic, staff- and system-related issues that must be considered while preparing for a build. It is intended to guide the agency in an assessment of its own readiness and development of a local Implementation Plan.
Unit Hierarchy	Access that is based on a person's position within a unit.
View	Access that allows one to see, inquire, or look up data.

Appendix B:
Agency Access Options Matrix

(**E** = Option Enabled **D** = Option Disabled)
(Highlighted items indicate what is selected or enabled.)

Case Assignable Staff

	View	Maintain	None
All Within Agency	Selected		
All Within Unit	D	E	D
All Within Same Job Type	D	E	D

When **View** is selected for the All Within Agency staff grouping, only the **Maintain** radio button will be enabled for the All Within Unit and All Within Same Job Type staff groupings. If no radio button is selected for either of these staff groupings, the default access will be **View**, since that was selected for all workers within that agency.

	View	Maintain	None
All Within Agency		Selected	
All Within Unit	D	D	D
All Within Same Job Type	D	D	D

When **Maintain** is selected for the All Within District staff grouping, *all* radio buttons will be disabled for the All Within Unit and All Within Same Job Type staff groupings, since the broadest level of agency access has already been established for all workers within that agency.

	View	Maintain	None
All Within District			Selected
All Within Unit	E	E	E
All Within Same Job Type	E	E	E

When **None** is selected for the All Within District staff grouping, *all* radio buttons will be enabled for the All Within Unit and All Within Same Job Type staff groupings. If no radio button is selected for either of these staff groupings, the default access will be **None**, since that was selected for all workers within that agency.

Unit Approver

	View	Maintain	None
All Within District	Selected		
All Within Same Unit Spec.	D	E	D

When **View** is selected for the All Within District staff grouping, only the **Maintain** radio button will be enabled for the All Within Same Unit Spec staff grouping. If no radio button is selected for this staff grouping, the default access will be **View**, since that was selected for all workers within that agency.

	View	Maintain	None
All Within District		Selected	
All Within Same Unit Spec.	D	D	D

When **Maintain** is selected for the All Within District staff grouping, *all* radio buttons will be disabled for the All Within Same Unit Spec staff grouping, since the broadest level of agency access has already been established for all workers within that agency.

	View	Maintain	None
All Within District			Selected
All Within Same Unit Spec.	E	E	E

When **None** is selected for the All Within District staff grouping, *all* radio buttons will be enabled for the All Within Same Unit Spec staff grouping. If no radio button is selected this staff grouping, the default access will be **None**, since that was selected for all workers within that agency.

Direct Supervisory Line

	View	Maintain	None
All Staff	Selected		
All Non-Clerical Staff	D	E	D

When **View** is selected for the All Staff grouping, only the **Maintain** radio button will be enabled for the All Non-Clerical Staff grouping. If no radio button is selected for this staff grouping, the default access will be **View**, since that was selected for all workers within that agency.

	View	Maintain	None
All Staff		Selected	
All Non-Clerical Staff	D	D	D

When **Maintain** is selected for the All Staff grouping, *all* radio buttons will be disabled for the All Non-Clerical Staff grouping, since the broadest level of agency access has already been established for all workers within that agency.

	View	Maintain	None
All Staff			Selected
All Non-Clerical Staff	E	E	E

When **None** is selected for the All Staff grouping, *all* radio buttons will be enabled for the All Non-Clerical Staff grouping. If no radio button is selected this staff grouping, the default access will be **None**, since that was selected for all workers within that agency.

Appendix C:
Job Types

State Job Types	
Clerical	***Non-Clerical***
Administrative Staff Commissioner's Staff Legal Support Staff SCR 6 & 9 SCR Support Staff	Administrator Adoption Services Assoc. Commissioner Attorney Auditor Budget Manager Clerical Support Commissioner Deputy Commissioner Fiscal Staff Interstate Compact Staff Program Director Program Staff Quality Control Rate Setting SCR Admin Review SCR CPS 1 SCR CPS 2 SCR CPS 3 State Adoption Services Technical Support Staff

Regional Office Job Types	
Clerical	***Non-Clerical***
Administrative Support	Adoption Specialist BECS Licensing Staff BECS Licensing Supervisor BECS Regional Director Connections Implementation County Lead County Lead Supervisor IAB Investigator IAB Supervisor Regional Office Director VA Lead VA Lead Supervisor

LDSS Job Types	
Clerical	***Non-Clerical***
Accounting Clerk Clerical Staff Commissioner's Staff Legal/Court Support Staff Support Staff	Accounting Supervisor Administrative Staff Adoption Caseworker Adoption Director Adoption Supervisor Assistant Commissioner Attorney Auditor Caseworker Child Protective Caseworker Child Protective Director Child Protective Supervisor Commissioner Contract Manager Director of Services Fiscal Staff Foster Care Caseworker Foster Care Director Foster Care Supervisor Home Finder Home Finding Supervisor Interstate Compact Preventive Caseworker Preventive Services Director Preventive Supervisor Quality Control Staff Senior Caseworker Senior Welfare Examiner Social Worker/Clinician Staff Development Welfare Examiner

Voluntary Agency Job Types	
Clerical	***Non-Clerical***
Accounting Clerk Clerical Staff Legal/Court Support Staff Support Staff	Accounting Supervisor Administrative Staff Adoption Caseworker Adoption Director Adoption Supervisor Asst. Executive Director Attorney Auditor Bureau Director/Head Case/Program Aide Caseworker Executive Director Executive Director's Staff Fiscal Staff Foster Care Director Foster Care Caseworker Foster Care Supervisor Home Finder Home Finding Supervisor Preventive Caseworker Preventive Services Director Preventive Services Supervisor Program Director Quality Control Staff Senior Caseworker Social Worker/Clinician Staff Development Supervisor Youth Counselor

OMH Job Types	
Clerical	***Non-Clerical***
Account Clerk Administrative Support Staff Clerical Staff Staff Development Support Staff	Commissioner's Office Contract Manager CPS Investigator CPS Supervisor Director Fiscal Staff Foster Care Services Home Finder Interstate Compact Legal Quality Control Senior Youth Counselor Social Worker/Clinician Youth Counselor

OMRDD Job Types	
Clerical	***Non-Clerical***
Account Clerk Administrative Support Staff Clerical Staff Staff Development	Commissioner's Office Contract Manager CPS Investigator CPS Supervisor Director Foster Care Services Home Finder Interstate Compact Legal Quality Control Senior Youth Counselor Social Worker/Clinician Youth Counselor

CQC Job Types	
Clerical	***Non-Clerical***
Administrative Support Staff	Commissioner's Office Director IAB Investigator IAB Supervisor Quality Control

DFY Job Types	
Clerical	***Non-Clerical***
Account Clerk Administrative Support Staff Clerical Staff Support Staff	Contract Manager CPS Investigator CPS Supervisor Facility Director Fiscal Staff Foster Care Services Home Finder Interstate Compact Legal Quality Control Senior Youth Counselor Social Worker/Clinician Staff Development Youth Counselor

Appendix D:
Resources

Several resources are available on the OCFS CONNECTIONS Intranet Website (*http://sdssnet5/ocfs/connect*), including the following:

Implementation Page:

- OCFS CONNECTIONS Regional Support Staff Listing
- *CONNECTIONS Resource Guide for Managerial Staff*
- *CONNECTIONS Reference Guide for Implementation Coordinators*

Security Page:

- *CONNECTIONS Security Step-by-Step Guide*

Desk/Job Aids Page:

- *CONNECTIONS Local Data Maintenance Job Aid*

Appendix E:
Build 18 Planning & Preparation Activities

OCFS has developed a coordinated series of activities designed to support the successful integration of the new Case Management Practice Model, as supported in CONNECTIONS Build 18, into agency casework practice and business function processes. This approach relies on a coordinated partnership among OCFS, local districts and voluntary foster care and preventive services agencies to provide staff with the operational support needed to make effective and efficient use of CONNECTIONS functionality.

These activities are organized around an implementation cycle that begins 10-12 months before the actual implementation of the system within a region. These activities are designed to:

- assist agencies in organizing their implementation effort;
- orient key staff to the new functionality and its impact on operations;
- assist agencies in building their capacity to participate in planning and preparation activities;
- provide structured assessment protocols and methods for service planning;
- provide “just in time” program and system training; and
- provide on-site programmatic and system support.

Early Readiness Activities

There are a number of activities that local districts and voluntary foster care and preventive services agencies can initiate now to help prepare for the introduction of the new Case Management Practice Model as supported in CONNECTIONS Build 18.

Identify a CONNECTIONS Implementation Team

The CONNECTIONS Implementation Team should include staff from all program areas, as well as staff from the information technology and training area.

Encourage Staff to Access the CONNECTIONS Intranet Website

Encourage all child welfare staff in your agency to access the CONNECTIONS intranet Website (*http://sdssnet5/ocfs/connect/*). This site contains up-to-date information about CONNECTIONS

Build 18 implementation activities and the CONNECTIONS Project as a whole.

ASSESS STAFF COMPUTER SKILLS

Assess the computer skills of all child welfare staff. It is not too early to encourage staff who will be new to CONNECTIONS—particularly those who have limited computer experience—to improve their ability to use the computer to accomplish certain tasks, such as keyboarding documents, sending an e-mail and using the mouse to navigate through a window.

ASSESS STAFF CASEWORK PRACTICE SKILLS

Assess your caseworkers' abilities to engage families and children in the assessment of their strengths and needs, to engage them in concurrent planning, and to develop service plans with families that effectively target not only the presenting problems, but the underlying issues that require change in families.

TRAINING AND SUPPORT TOOLS

To support the training necessary to get everyone up to speed on Build 18, a number of tools will be available:

STEP-BY-STEP GUIDE

A Step-by-Step Guide is being developed to provide workers with detailed instructions about the system functionality contained in Build 18, along with a casework context for those instructions. The Step-by-Step Guide will be distributed to participants at the two-day CONNECTIONS Build 18 system training for non-CPS Child Welfare workers.

LIVE TRAINING

Programmatic practice training and system training will precede each wave of implementation. (For training details, see Appendix G.)

- Programmatic practice training will be provided by the Center for Human Development Studies (CDHS), Buffalo State College.
- System training will be provided by the CONNECTIONS Training Project, Training Strategies Group (TSG), Research Foundation of SUNY. A variety of system trainings are in development to address the specific needs of different audiences. Some system trainings will be conducted in CONNECTIONS training labs across the state, while others will be held in larger classroom settings.

Preview Application

A Preview Application will be available just prior to implementation to provide an advance look at the changes in Build 18. The Preview Application contains a “snapshot” of actual case data at a particular point in time. The Preview Application enables workers to practice using the updated functionality with familiar case data, without affecting the actual case information in the Production Database.

Release Notes

Release Notes will be sent by OCFS via e-mail. These notes provide a more technical overview the elements in Build 18.

Appendix F: CONNECTIONS Security Preparation Worksheets

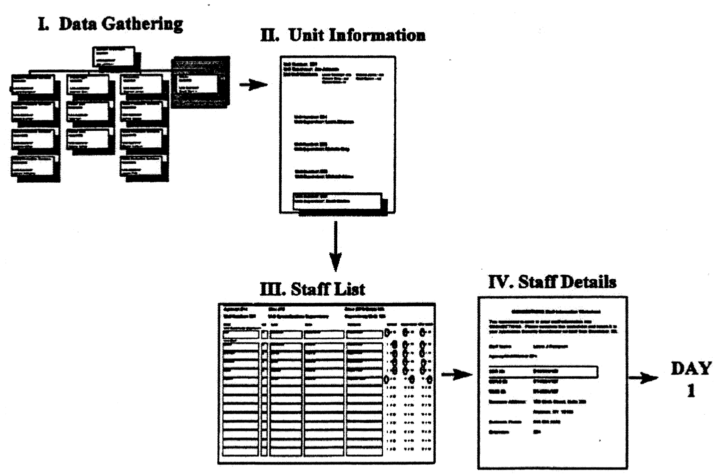
ORGANIZING OFFICE INFORMATION

To ensure the information in CONNECTIONS is complete and accurate for your agency, you need to complete the following tasks:

- Gather the necessary data about your organizational structure.
- Arrange units into a hierarchy.
- Know which staff members are assigned to each unit and document certain information about each unit.
- Record information about individual staff members.
- Enter this information into CONNECTIONS.

Instructions are provided in this appendix in the order that the tasks should be completed:

Step I ....Data Gathering
Step II ....Completing the Unit Structure Worksheet
Step III ....Completing the Staff List Worksheet
Step IV.......Completing the Staff Information Worksheet
Step V........Data Entry



Step I: Data Gathering

Instructions

As your first step, assemble the information about the units that you are going to be entering into CONNECTIONS. It will be helpful first to review the Unit Structure, Staff List and Staff Information worksheets, included in Steps II, III and IV of this section, so that you are aware of the information that you should be gathering. The following are suggestions of sources that may be used to locate the necessary information:

- Organizational Charts
- Organizational Directories

Step II: Completing the Unit Structure Worksheet

Instructions

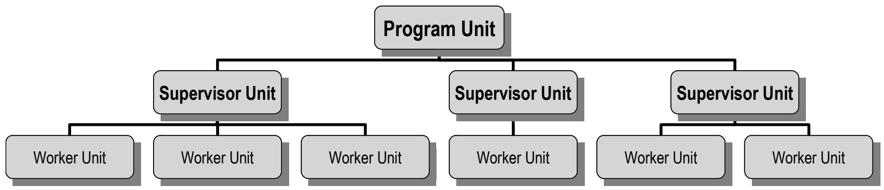
The Unit Structure worksheet (see page 52) is provided to assist you in organizing the units into their hierarchical structure. **You will need to complete one of these worksheets for each and every unit in your organization**. Completing these worksheets accurately will help simplify the collection and organization of the remaining data. Complete fields as follows:

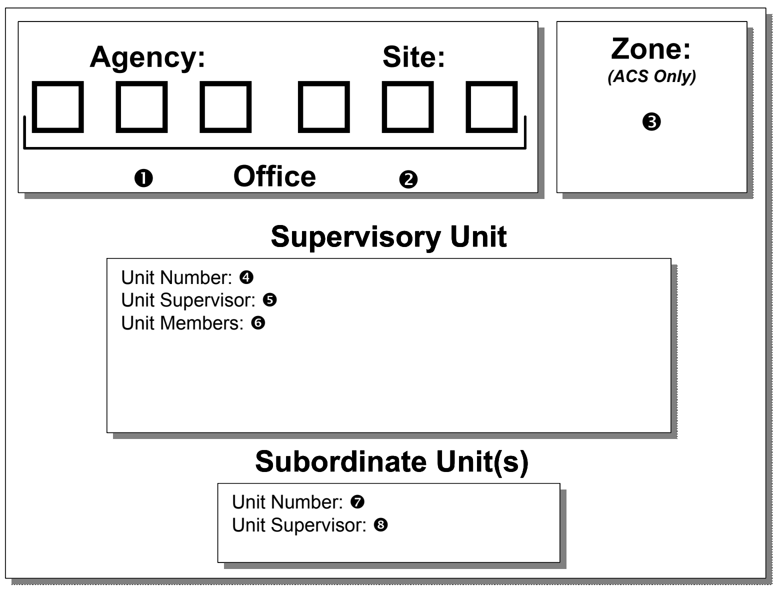
❶	**Agency**	Enter the Agency Code
❷	**Site**	Enter the Site Code for the unit. *Note: The Office Code is the combination of the Unit's Agency and Site Codes*
❸	**Zone (NYC only)**	This fields is to be used only by NYC Administration for Children's Services (**ACS Field Offices only**).
❹	**Unit Number**	Enter the Unit Number
❺	**Unit Supervisor**	Enter the name of the Unit Supervisor (or Unit Approver)
❻	**Unit Member**	Enter the names of all other members of the unit
➲	**Subordinate Unit(s)**	Enter information about other units for why any member of this unit is the Unit Supervisor: *Note: A unit may or may not have any subordinate units.*

❼	**Unit Number**	Enter the Unit Number
❽	**Unit Supervisor**	Enter the name of the Unit Supervisor (Unit Approver)

Sample Unit Structure

(Note: Your unit structure will vary from this sample.)





Unit Structure Worksheet

Agency: **Site:**

☐ ☐ ☐ ☐ ☐ ☐

Office

Zone:
(ACS Only)

Unit Information

Unit Number:
Unit Supervisor:
List Unit Members:

Subordinate Unit(s)

Unit Number:
Unit Supervisor:

Unit Number:
Unit Supervisor:

Unit Number:
Unit Supervisor:

Step III: Completing the Staff List Worksheet

The numbers below correspond to the numbers in the fields on the sample document on page 55.

Instructions

The Staff List worksheet (see page 57) allows you to collect and organize data about the staff of a specific unit. Enter information into the worksheet as follows:

❶	**Agency**	Enter the Agency Code.
❷	**Site**	Enter the Site Code for the unit. *Note: The Office Code is the combination of the Unit's Agency and Site Codes.*
❸	**Zone (NYC ACS only)**	For NYC Administration for Children's Services only; not applicable for Voluntary Agencies.
❹	**Unit Number**	Enter the Unit Number.
❺	**Unit Specialization**	Select the Unit's Specialization from the Unit Specialization list.
❻	**Supervisory Unit**	Enter the names of all other members of the unit.

❼ Information about the Unit Supervisor (the supervisor being the individual who is responsible for approving the work of all other members assigned to the unit):

➲	**Name**	
➲	**Role**	Use "Supervisor" as the role.
➲	**Category**	Select the supervisor's category from the list of categories.
➲	**In/Out**	Is the supervisor in-assigned or out-assigned to the unit? A supervisor must be in-assigned to the unit that s/he supervises.
➲	**Case Assignable (Assn.)**	Can cases be assigned to this supervisor? (Y/N)

❽ Information about the unit's staff:

➲	**Name**	
➲	**Role**	Select a Unit Role from one of the following: • **Worker** A worker of the unit (other than a supervisor)

- **Maintainer**
  A staff member with security rights to maintain the staff members in his/her office in CONNECTIONS. (Maintainer security rights are: change, modify, add and delete.)
- **Manager**
  A member of a unit whose level exceeds the supervisor's.

Note: There is an additional role (Supervisor), which may only be assigned to the supervisor of the unit.

These roles are *Unit Roles,* which should not be confused with *Stage Roles* (Case Manager, Case Planner, Caseworker and CPS Worker/Monitor for Family Services Stages; Primary worker and Secondary worker for CPS stages). Stage roles are applied via the *Assign* window.

➲	**Category**	Enter the staff member's category from the list of categories.
➲	**In/Out**	Is the staff member in-assigned or out-assigned to the unit? If a staff member has been formally placed within a unit, that staff member is *in-assigned* to the unit. Staff members who have a role within the unit, but who are not formally assigned to that unit, are *out-assigned* to the unit. **Every staff member must be in-assigned to one and only one unit.** A staff member may be out-assigned to multiple units (limit: 6).
➲	**Case Assignable (Assn.)**	Can cases be assigned to this staff member? (Y/N)
➲	**CW WKR**	Is this staff member a CW worker? (Y/N) This is an optional field and could be used to capture other areas, e.g., FAD WKR. *Note: A CW worker is any worker/supervisor in a unit who performs child welfare services (e.g., counseling or placement) for clients.*

Agency: ❶ **Site:** ❷ **Zone (ACS only):** ❸

Unit Number: ❹ **Unit Specialization:** ❺ **Supervisory Unit:** ❻

First	MI	Last	Role	Category	In/ Out	Case Assn	CW WKR
Unit Supervisor (Approver)							
❼					I / O	Y / N	Y / N
Unit Staff							
❽					I / O	Y / N	Y / N
					I / O	Y / N	Y / N
					I / O	Y / N	Y / N

Staff List Worksheet

Step IV: Completing the Staff Information Worksheet

> **The numbers below correspond to the numbers in the fields on the sample document at the bottom of this page.**

Instructions

The Staff Information worksheet (see page 60) allows you to collect important data about the employees that you listed on the Staff List worksheets. Complete the worksheet once for each staff member in your organization, regardless of the number of units that the staff member is assigned to:

❶	**Staff Name**	Enter the staff member's name.
❷	**Unit Number**	Enter the Unit Number of the unit to which the staff member is in-assigned.
❸	**ID Number**	Enter the staff member's ID number, if one has been assigned.
❹	**Business Address**	Enter the business address of the staff member (Street address, City, State and ZIP code).
❺	**Business Phone**	Enter the business phone of the staff member.
	➲ **Extension**	Enter the extension of the business phone number.

Staff Name:	❶
Unit Number:	❷
Agency/Unit/Worker ID *(if applicable)*	❸ / /
Business Address:	❹
Business Phone:	❺ ( )
Extension:	❻

Staff Information Worksheet

Staff Name:	
Unit Number:	
Agency/Unit/Worker ID *(if applicable)*	/ /
Business Address:	
Business Phone:	( )
Extension:	

Step V: Data Entry

Instructions

Having completed Steps I through IV, you should have all the information about your office(s) gathered and ready to enter into CONNECTIONS.

Through automated conversion of existing information, staff records will be created in CONNECTIONS and the staff members will be part of temporary, or “holding” units, until you create new units to move them into. In this step, you will verify that the staff information that has been converted matches the data you have gathered on the worksheets. You will also enter new information that was not part of automated conversion.

To complete this step in the process you will:

- transfer staff members from temporary units to actual units;
- assign Unit Approvers (supervisors) to each unit;
- assign Business Functions to staff members;
- enter pertinent information for all staff members in your agency;
- enter case assignability status for all staff members in your agency; and
- maintain information about the various offices in your agency.

Step-by-step procedures for completing these tasks are located in the *CONNECTIONS Security Step-by-Step Guide.*

Appendix G:
CONNECTIONS Trainings

PROGRAM TRAINING

The Center for the Development of Human Services (CDHS) at Buffalo State College will provide programmatic practice training in advance of each wave of implementation. This training will provide CPS, foster care, preventive services and adoption caseworkers and supervisors with an introduction to the practice changes and case management structure supported by CONNECTIONS. This training will include information about:

- using the new assessment protocols;
- identifying and utilizing strengths in case plans; and
- working in a single, shared electronic case record.

The CDHS program training will be followed by CONNECTIONS system training, provided by the CONNECTIONS Training Project, SUNY Training Strategies Group, Research Foundation of SUNY.

BUILD 18 SYSTEM TRAININGS

Introduction to CONNECTIONS	This half-day, lab-based course will provide basic instruction in CONNECTIONS concepts and elementary navigation. The course will be designed to introduce a conceptual foundation for workers who are new to CONNECTIONS, provide participants with basic CONNECTIONS navigation skills, and prepare workers for subsequent computer lab-based trainings, during which they will learn the specific functionality included in Build 18.
Introduction to Build 18	This half-day, classroom-based course will provide basic familiarity with the programmatic and system changes that Build 18 will introduce to CONNECTIONS. The course will be designed to provide a conceptual foundation for workers who are either experienced CONNECTIONS users (e.g., CPS workers) or new CONNECTIONS users who have attended the *Introduction to CONNECTIONS* training and/or completed the *Introduction to CONNECTIONS Computer-Based Training (CBT) Modules*. This training will provide a fairly broad overview of Build 18 functionality in preparation for subsequent computer lab-based trainings, during which participants will receive hands-on instruction regarding the specific functionality included in Build 18.

Case Management for CPS Workers	This full-day, lab-based course will provide hands-on training of Build 18-specific functionality to CPS workers who already have practical knowledge of CONNECTIONS. The course will be designed to enable these workers to use the Build 18-specific functionality in CONNECTIONS at the time of implementation. This training will provide specific information and practice opportunities for using system functionality within a casework context.
Case Management for Family Services Workers	This two-day, lab-based course will provide hands-on training of Build 18-specific functionality to Family Services workers who have attended the *Introduction to Build 18* training and attended the *Introduction to CONNECTIONS* course (and/or completed the *Introduction to CONNECTIONS CBT)*. The course will be designed to enable these workers to use the Build 18-specific functionality in CONNECTIONS at the time of implementation. This training will provide specific information and practice opportunities for using system functionality within a casework context.
Build 18 Supervisory Training	This half-day, classroom-based course will provide supervisory staff with a solid understanding of how to use CONNECTIONS as a tool for supervision, as well as how to complete the supervisory review and approval process in CONNECTIONS.
Resource User Training	This five-day, lab-based course will provide conceptual and hands-on training of Build 18-specific functionality to selected participants who have attended the *Introduction to Build 18* training and attended the *Introduction to CONNECTIONS* course (and/or completed the *Introduction to CONNECTIONS CBT)*. The course will be designed to enable these workers to use the Build 18-specific functionality in CONNECTIONS sufficiently to provide technical assistance to others in their respective agencies. This training will provide specific information and practice opportunities for using system functionality within a casework context.
Build 18 Follow-Up Training	This training mirrors the one-day Case Management for CPS Workers training or the two-day Case Management for Family Services Workers (as applicable). The Build 18 Follow-Up Training will be available in each wave for the first few weeks following implementation. This training is intended for individuals who were unable to attend the pre-implementation training or who need a refresher course in the CONNECTIONS Case Management system.

Operational System Trainings

Building Blocks of CONNECTIONS	This one-day, lab-based training is designed for CPS and FAD workers who are new to using the CONNECTIONS system. Participants of this class will learn how to sign on to the computer and access the CONNECTIONS Toolbar. Features that are common to Child Protective Service (CPS) Investigations and Foster and Adoptive Home Development (FAD) will be demonstrated and practiced by the class.
Basic Foster and Adoptive Home Development (FAD)	This two-day, lab-based training is designed for new Foster and Adoptive workers who are responsible for the creation and/or supervision of FAD homes in CONNECTIONS. Through discussion, demonstration and hands-on practice exercises, participants will learn how to develop and maintain foster and adoptive homes in CONNECTIONS. This curriculum outlines foster and adoptive casework activities in accordance with current New York State regulations.
Advanced FAD for Experienced Workers	This one-day, lab-based training is designed for FAD workers who have attended the Basic FAD course or who have been using the CONNECTIONS system on a daily basis for at least six (6) months. Time is allotted for participants to engage in practice exercises using skills learned in Basic FAD or in their casework experience. This course is ideal for the FAD worker who is looking for a one-day overview or "refresher" course.
Child Protective Service (CPS) Investigation	This two-day, lab-based training is designed for new CPS caseworkers. Starting with the receipt of a new report, this training follows the flow of casework activity through the Investigation Conclusion. Participants will learn the CONNECTIONS functions necessary to accomplish basic CPS tasks.
Basic Data Warehouse	This one-day, lab-based training provides instruction on using Impromptu and PowerPlay to generate and manage predefined reports relating to CPS and FAD information contained in the Data Warehouse. The Data Warehouse is a repository of data from both CONNECTIONS and CCRS.

Advanced Data Warehouse

This two-day, lab-based training provides instruction on using Explorer and Reporter modes in PowerPlay, as well as modifying predefined reports, using cross-tab reports, and creating prompts in Impromptu. The course also includes discussion, demonstration and time for participants to practice what they have learned. *Basic Data Warehouse* is a prerequisite for this course.

CONNECTIONS Security

This one-day, lab-based training is intended specifically for workers assigned as their respective agency's Security Coordinator. This instructor-led training provides discussion, demonstration and hands-on practice exercises designed to provide all CONNECTIONS Security Coordinators (and their back-ups) with a thorough orientation to all basic CONNECTIONS security functions. Participants learn about topics such as maintaining staff, office and units; security reports; modifying Business Function Profiles; transferring workers; end-dating and reinstating staff; and more.

Implementation Coordinator

This one-day, classroom-based training is specifically designed to provide Implementation Coordinators with a thorough orientation to the various roles and responsibilities associated with the Implementation Coordinator designation, as well as an overview of Build 18. In addition, this course explores the various tools and support systems available that will assist Local Districts and Voluntary Agencies in a successful transition to Build 18.

Vacancy Control

This half-day, lab-based training is designed for *experienced* CONNECTIONS users, introducing participants to Vacancy Control. The Vacancy Control functionality enables DFCS, OPA and Voluntary Agency staff to locate, maintain and/or reserve beds for children in need of placement. Using this functionality, designated workers can obtain real-time access to vacant bed information in foster care and congregate care settings. They can also specify characteristics for beds to meet the needs of children who require placement. These trainings provide hands-on instruction and detailed job aids that provide step-by-step procedures for Vacancy Control.

Appendix H:
Impact Analysis and
Security Self-Assessment

IMPACT ANALYSIS

Subject: Administrative

Functional Area: Security for CONNECTIONS Case and Financial Management

Note: Readers who are unfamiliar with CONNECTIONS Security may find it helpful to review the first five modules of the CONNECTIONS Security Step-by-Step Guide, which is available on the Security page of the CONNECTIONS Website (http://sdssnet5/ocfs/connect).

Brief Description of Current Function/Process:

CONNECTIONS Security protects case and person information entered into the system by controlling access (view or maintain) to that information and the specific functions that staff are able to perform in the system.

What Remains the Same:

- Security as it affects CPS Intake, CPS Investigation and Foster/Adoptive Home Development windows and functionality remains unchanged.

- Only staff with the MAINT SECURITY ("Maintain Security") Business Function will be able to administer the Staff Security window.

- The procedures for adding, maintaining and deleting staff and units as well as other security features, such as assignees and designees, will function in the same way as it currently does for CPS and FAD in the new Family Services Intake (FSI) stage and Family Services Stage (FSS).

- The Business Functions that existed before Build 17 will continue to function in the same manner after the implementation of Build 17.

What is New or Changes:

- The Supervisory Unit designation on the Unit Detail window will be display-only; unit relationships to each other will be administered on the new Organizational Hierarchy window.

- Agency units may be arranged into a hierarchy on the new Organizational Hierarchy window. Agencies have the OPTION to permit staff to access the FSI and FSS stages of staff who are positioned in subordinate units.

- Staff may be assigned one or more Job Types on the Staff Security window. Agencies have the OPTION to permit staff with the same Job Type to access each other's FSI and FSS stages.

- Agencies may use the new Agency Access window to grant staff view and/or modify access to FSI and FSS stages of other staff as follows:

    - To Case Assignable Staff (Caseworkers)
        - All FSI and FSS stages within their agency
        - All FSI and FSS stages within their unit
        - All FSI and FSS stages of staff who share the same Job Type

    - To Unit Approvers (Supervisors)
        - All FSI and FSS stages within their agency
        - All FSI and FSS stages in units sharing the same Unit Specialization

    - Direct Supervisory Line
        - All FSI and FSS stages of staff in subordinate units
        - Can restrict the access of FSI and FSS stages of staff in subordinate units to only non-clerical staff.

Note: Only a select number of staff in each agency will be able to input or modify information on the Organizational Hierarchy and Agency Access windows. OCFS/CONNECTIONS Security is responsible for assigning to authorized agency staff the necessary Business Functions to maintain these windows.

Implications/Considerations

System

- Districts and agencies may need to increase the number of staff who maintain security in light of the increased number of staff who will become active users of the system upon the implementation of Build 18.
- Districts and agencies need to input, initially or as needed, clean-up security information sufficiently in advance of the implementation of Build 18 to enable staff to access their cases.
- Districts and agencies should end-date staff who no longer should be in the system.
- Districts and agencies will be able to use pre-Build 17 security features for all CONNECTIONS stages (e.g., CPS, FAD, FSI and FSS), regardless of whether they complete the Organizational Hierarchy or Agency Access windows.

Program

- With the implementation of the Family Services Stage in CONNECTIONS in Build 18, district and agency staff who work with a family will share one electronic case record. Entries into the assessments, plans and progress notes will be viewable in real time by all of the workers assigned a role in the case or who are granted access through the enhanced security features described in this Impact Analysis. This should be taken into account as part of developing the agency CONNECTIONS security structure.

Recommendations:

- Managers and other staff who will make decisions concerning the organizational hierarchy and access to records should attend the Security for Managers course, as well as the Build 18 Overview and Regional Forum. These sessions will be scheduled in each region during the months that precede an implementation in each region.
- Districts and agencies should complete the Security for CONNECTIONS Case Management Self-Assessment.
- Experienced Security Coordinators should attend Build 17 training. Staff who are new to this role should take the Security Coordinator course after the implementation of Build 17; this course has been updated to incorporate Build 17 content.
- Security Coordinators and managers should become familiar with the reports available in the Data Warehouse that support security data clean-up activities and identify all of a district's or agency's staff by unit and with all assigned Business Functions.
- Districts and agencies should organize an effort to enter, initially or as needed, clean-up CONNECTIONS security data for staff who perform ongoing services. In particular, they should assume that WMS/CCRS IDs for staff are accurately reflected on the CONNECTIONS Staff Detail window. This is needed to direct WMS/CCRS cases that are converted to CONNECTIONS FSI/FSS stages to the appropriate, assigned workers when Build 18 is implemented. (Note: CONNECTIONS Project staff may be available to assist with data entry/clean-up.)
- Administrators should review their agency's confidentiality and data security policies and procedures in anticipation of the expanded sharing of information that will occur upon the implementation of CONNECTIONS Case Management.

SECURITY FOR CONNECTIONS SELF-ASSESSMENT

Background

The enhancements to CONNECTIONS Security that are being released with Build 17 apply to the new CONNECTIONS Case and Financial Management functions (Family Services Intake, Family Services Stage) that will be implemented in Builds 18-19; these enhancements will not affect security for CPS Intake, CPS Investigation or FAD stages. The earlier release of the security functionality enables local districts and agencies to organize their security structure before implementation of the larger case management system.

Build 17 introduces two new windows—*Agency Access* and *Organizational Hierarchy*—that will enable districts and agencies to more easily give workers, supervisors and administrators the ability to view and/or maintain cases in which they do not have a direct role. Expanded access may be granted vertically within the organization as well as horizontally to the levels of unit, job function or agency-wide. The use of these features is optional; workers who have a role in a case will continue to be able to conduct work in that case whether or not their district/agency decides to take advantage of the enhanced security features.

In order to effectively use the new security features, it is recommended that district/agency administrators first develop an understanding of basic CONNECTIONS Security as well as the functions that will be performed within CONNECTIONS once Build 18 is implemented. The CONNECTIONS Implementation Management Team will assist administrators to obtain this understanding through the provision of orientations and other support material.

This self-assessment is designed to guide the implementation of both basic and enhanced security. It consists of a series of items—stated as benchmarks—against which to compare your agency's current state of readiness. If a “gap” exists between current readiness and the benchmark, it should be noted in the space under each item. The action steps necessary to eliminate the “gap” should be written in the space provided at the end of each section. These action steps, taken together, comprise the agency’s Security for CONNECTIONS Case Management Implementation Plan. It is recommended that this plan be completed no later than eight months prior to the agency’s scheduled implementation of Build 18.

To promote the most comprehensive assessment of the agency’s state of readiness, the self-assessment should be conducted by a cross-section of agency administrators and staff. CONNECTIONS Regional Field Staff are available to assist with this effort.

Section I –
Organizing the Implementation of Build 17 / General Readiness Issues

1. The Agency's LAN Administrator has the knowledge and skills to fulfill his/her responsibilities related to security, including establishing staff NT accounts in WEBSTAR.

Gap:

2. The Agency has designated a Security Coordinator and Back-up Security Coordinator who:
   - have an active NT Identification and mailbox;
   - are active in CONNECTIONS; and
   - are on the distribution list for Security Coordinators (otherwise, contact Donna Cramer in OCFS-IT for more information).

Gap:

3. The Security Coordinator and Back-up Security Coordinator are familiar with CONNECTIONS Security through:
   - attendance at the Security Coordinator training course*;
   - attendance at CONNECTIONS Build 17 Training*;
   - review of the *CONNECTIONS Security Step-by-Step Guide*;
   - review of resource material available in the Security section of the CONNECTIONS Web page.

* Note: Experienced Security Coordinators should have attended Build 17 training that was offered in April/May 2004. Staff who are new to this role should take the Security Coordinator course, which has been updated to incorporate Build 17 content.

Gap:

4. There are a sufficient number of staff who are able to “maintain security” to permit the efficient administration of this function. Agencies may determine who on their staff have this capability through the Business Function Report accessible on the Data Warehouse.

Gap:

5. In order to be able to make informed decisions about the assignment of Business Functions to staff and the extent to which staff, supervisors and administrators will have access to records in which they do not have a role, the Agency’s child welfare administrators have obtained a working knowledge of CONNECTIONS security, through:
    - viewing of the CONNECTIONS Build 18 Security for Decision-Making training video;
    - review of the introductory sections (Modules 1-5) of the *CONNECTIONS Security Step-by-Step Guide*; and
    - review of resource material available on the Security page of the CONNECTIONS Web site.

Gap:

6. The Agency has formed a workgroup consisting of a cross-section of agency administrators and staff to recommend how the agency’s CONNECTIONS Case Management Security should be structured. (See Section II.) Team members have obtained a working knowledge of basic security and the enhancements introduced through Build 17 through the methods described in Item 5.

Gap:

7. The Agency's Implementation Coordinator participates in or monitors the implementation of CONNECTIONS Case Management Security with an eye toward completing the process before the release of CONNECTIONS Case Management (Build 18).

Gap:

8. The staff who are implementing CONNECTIONS Case Management Security are familiar with the work processes affected by CONNECTIONS Case Management (Build 18) through:
   - attendance at OCFS Teleconferences;
   - participation at Regional Forums; and
   - review of Build 18 Impact Analysis documents.

Gap:

Section I Action Items	***Responsible***	***Due***

Section II –
Security Data Entry and Clean-up Activities

1. The agency's Security Coordinator is familiar with Data Warehouse reports available to support security clean-up activities. (See Module 9 in the *CONNECTIONS Security Step-by-Step Guide*.)

Gap:

2. The agency has a plan to initially enter, or as needed clean up, CONNECTIONS Security data for staff who perform ongoing services (foster care. preventive, adoption). The plan should address completion of the following activities (see Modules 6-8 in the *CONNECTIONS Security Step-by-Step Guide*):

   Initial Entry

   - Assure that all staff are assigned a NT logon ID and have "standard access" via WEBSTAR (performed by LAN Administrator)
   - Create additional units, including their specialization, as necessary (Note: the designation of "unit specialization" may affect access to cases - see chart in the next section.)
   - Each worker who needs to be made "case assignable" and is assigned the business functions appropriate to their job function
   - Each worker is assigned to the appropriate unit including reassignment of any staff from default unit(s)

   Clean-up Existing Data

   - Eliminate units with duplicate unit identifiers
   - Delete "default" units (units coded as N and two numbers) that contain only "conversion" workers (Note: CONNECTIONS Security is working on a solution to the inability to delete a default unit that has had a stage assigned to it). No unit should exist with the conversion worker as unit approver.
   - End Date staff who no longer work for the agency in CONNECTIONS and then delete those staff in NT through WEBSTAR; staff who have

already been deleted in WEBSTAR should be end dated in CONNECTIONS.

- Determine that the WMS/CCRS staff identifier is correctly recorded in the Staff Detail Window for all staff who have an ongoing services case assigned to them. (NOTE: this is a critically important activity in the effort to match cases to workers as part of the Build 18 conversion.)
- Determine that all staff who are entered in the system as case assignable should be case assignable. (Information about which staff are case assignable may be obtained on the Staff Detail Window within CONNECTIONS or on the Staff Security Report in the Data Warehouse.)
- Determine that staff are assigned the business functions they need and only those that they need.
- Eliminate “out-assignments” that are no longer necessary in light of the Build 17 case access enhancements.

Gap:

Section II Action Items	***Responsible***	***Due***

Section III –
Program and Operational Considerations

1. The District/Agency has decided whether staff will have View and/or Maintain access or No access to information in Case Management stages in which they do not have a role as follows:

Level of Staff Person	View	Maintain	None
To Case Assignable* Staff (Caseworkers) • All FSI and FSS stages within their district or agency • All FSI and FSS stages within their unit • All FSI and FSS stages of staff sharing the same "job type"			
To Unit Approvers (Supervisors) • All FSI and FSS stages within their district/agency • All FSI and FSS stages in units sharing the same "unit specialization"			
Direct Supervisory Line (through Organizational Hierarchy) • All staff within the direct supervisory line on the "organizational hierarchy" • All non-clerical staff within the direct supervisory line			

* Information about which staff are "case assignable" may be obtained on the *Staff Detail* window in CONNECTIONS or on the Staff Security Report in the Data Warehouse.

2. The District/Agency has decided how to align units within the Organizational Hierarchy Window. Note: this step is only needed if the district or agency has decided to grant access to cases through the direct supervisory line (per the third row in the above chart).

3. In light of the expanded sharing of information that will occur upon the implementation of CONNECTIONS Case Management, administrators have reviewed their district or agency's confidentiality and data security policies and procedures.

Gap:

Section III Action Items	***Responsible***	***Due***

Appendix I:
Sample Agency Organization Chart

Alpha Family Services Agency: An Expanded View