CONNECTIONS Data Cleanup Information and Requirements
For Build 18

Prior to a District being converted in Build 18, there are three tasks that need to be completed involving data cleanup in CONNECTIONS (also referred to in this document as CONX)—Multiple Person Cleanup, Conversion Cleanup and Worker ID Cleanup. Each of these tasks, along with a sample of possible conversion results and various appendices, is described in detail in this document.

Multiple Person Cleanup

There are instances where multiple identities have been created for individuals in the CONX system. It is very important that any duplicate identity be eliminated. This is accomplished using the Person Merge/Split function in CONX.

Each month (on or around the first Monday), a Multiple Person Report is generated for each district. The number of lines on this report represents people in the district's CONX cases that have exactly the same name, date of birth and sex.

Task

It is the job of each District to analyze the report and to either perform the Person Merges or request, in writing, of Suzanne Frizzell, 52 Washington Street, Rensselear, NY 12144, to complete the Person Merges. This report is re-generated on a monthly basis and is located on the shared drive at: \\fnphsen0a1ah\groups >Connections. The report is password protected. To get the password for your report, call your local Field Support staff person or Suzanne Frizzell at (518) 473-4342.

Consequences

If multiple people exist in the database, the Conversion process will create an additional duplicate person when it creates a case as the program will not know which person to use in the case. This will have the following impacts:
- Search response time could be impacted
- Search results will be even more inaccurate
- Creating the relationship matrix for new cases will be more difficult. Multiple people, particularly in the same case, will need merging post-conversion to make the case construct accurate.

Process/Instructions
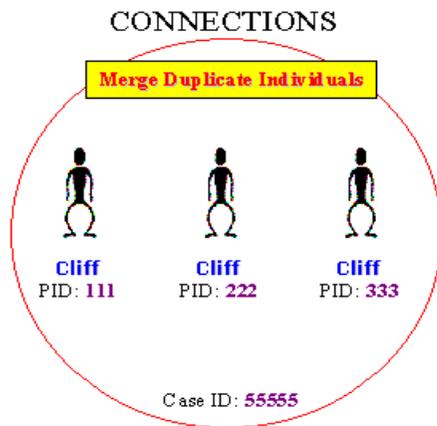
If one of the individual identities is involved in an open stage, other than an Administrative Review or ARI stage, (e.g. Cliff with PID 111 in the example above), the Person Merge may be performed by anyone with an assigned role in the open stage or by someone who has access to the workload of such a person (assuming that this person has the security to perform a Person Merge/Split).
The navigational path is as follows:

Assigned Workload ⇨ Task List ⇨ Maintain Person ⇨ Options ⇨ Person Merge/Split

If none of the individual identities is involved in an open stage the Person Merge may be performed by anyone in your District who has the Business Functions Person Search and Person Merge/Split.
The navigational path is as follows:

Person Search ⇨ Case List ⇨ Case Summary ⇨ Options ⇨ Person List ⇨ Options ⇨ Person Merge/Split

Items to consider when merging duplicate persons:

1. The "Forward" person is the individual that will continue to exist, while the "Closed" person is the individual that will be eliminated.
2. As a general rule, it is best to merge the newest individual (i.e. the one with the highest PID) into the oldest, thereby preserving the historical demographic information.

Step-by-Step

- Click on the PERS button on the CONX toolbar
- Perform a Person Search for duplicates listed on the report.

- Review the Search results to determine if more potential duplicates exist, perhaps in other counties. Another case may appear with the same name but with a date of birth of January 1st and the same or nearly the same year-of-birth. This person may also be determined to be the same person and should be evaluated for a potential merge. If the case is found to impact another county the worker in the second county should be contacted before any merges are completed.
- Select "Case List" for each person being evaluated, and look at the COMP (family Composition) for each case. If it appears that the COMP is the same or similar, you may be able to conclude that this is the same person.
- If the COMP is different, further evaluation may be warranted. It may be that the individual was a child in one case, and then a parent in another. In some cases it may be necessary to read the case notes or contact the former worker to verify that this is, in fact, the same person before a decision can be made.
- If the people to be merged exist in the same stage, special instructions for merging are needed. *Refer to Appendix A in this document for specific instructions.*
- If you are unable to determine that the people listed on the duplicate/multiple person list are the same person, no further action is required. Make a notation on the spreadsheet that the people listed are "Different" or "Unable to Determine".
- If you determine the people listed on the duplicate/multiple person list are the same person, determine which of the duplicates will be the one to keep (referred to in the documentation as the Merge Forward Person). The other person is referred to as the Merge Closed Person, and he/she will be "retired" in CONX. The Person Merge/Split must be performed for each person that is to be merged to the Merge Forward Person. If a person has already been merged (has a red checkmark in the M/S column), select that person as the Merged Forward Person.
- Go back to the Results of the Person Search window.
- Select the person that will be "retired"—the "Merge Closed Person" and click on the "Case List" button.
- Select a case; usually the newest one is best.
- Click on the "Summary" button (You can get the list of people by clicking on the COMP button, but you won't be able to do a merge—select the Summary button.).
- Select an INV stage; usually the newest one is best.
- From the Options Menu, select "Person List".
- Select the Person to be "retired", the Merge Closed Person.
- From the Options Menu, select "Person Merge/Split".
- The Person Merge/Split window will appear. Check that the Merged Persons, Closed Section is accurate.

Person Merge/Split - Lopez,Martha

File   Edit   Options   Help

Forward First	Forward Middle	Forward Last	ID Pers Forward	Closed First	Closed Mi

Merged Persons

Forward
ID: [   ]
Name: [   ]

Closed
ID: [20019864]
Name: [Lopez,Martha]

Staff Nm Merge: [   ]
Date Merge: [/ /]
Staff Nm Split: [   ]
Date Split: [/ /]

Merge   Split   Clear

Validate   Save   Cancel

- Enter the Person ID (PID) of the Merge Forward Person (the one you are keeping) and click on the "Validate" pushbutton. This will retrieve the name associated with that PID.
- If the Forward and Closed information looks correct, click on the "Merge" pushbutton and answer "Yes" to the pop-up question "The person is in open stages. Merge with extreme caution. Continue"? and/or "Merge PID # to PID #?" confirming your merge.
- A screen will appear which will allow you to select which demographics to keep for the Merge Forward Person. You can select some demographics from the Merge Forward Person and some from the Merge Closed Person. Generally, the person with the highest Person ID would have the most current demographics.
- Click on the "OK" button and then Click on "Save".
- Mark the spreadsheet with which person was Merged Forward and which was Merged Closed.

Additional Notes:

- If a person has already been merged, use the merged PID as the 'Merged Forward' person. It is ok to have a person merged multiple times.
- If the people to be merged are part of the same stage, there are special instructions to follow. *Refer to Appendix A in this document for specific instructions.*
- When doing a search, there are often multiple instances of that persons name in other counties or with different birthdates—you can narrow down your search by typing in the name and birth date.

- You can verify that a merge is complete by doing a person search afterward and verifying that only one of the people shows up in the search.
- If you find other instances during the person search that could require a merge, you can perform multiple merges (ex: John Doe, DOB 1/1/85, Jon Doe DOB 1/1/85)—the multiple person report only shows those with exact matches on name, birth date and sex.
- Pay attention to the Counties—you may have to contact another County if one of your cases to be merged is from another county. Example—John Doe DOB 1/1/85 case in Monroe and John Doe DOB 1/1/85 case in Wayne—shouldn't just go ahead and do the merge without making sure they truly are the same person.
- If a person is already merged, there will be a red checkmark in the 'M/S' column on the Person List window.
- You may also want to check for people in the Search results where the birthdate is 1/1/yy, with yy being the same year as the person you're trying to merge.
- Note—the data warehouse report titled "Legacy CINS with Multiple Person IDs in CONNECTIONS' is not the report to look at—need to look at the Multiple Person report on the shared drive.
- In order to be able to do a Person merge, you need to have certain Business Functions including CPS SUPV, which allows you to see the 'Person List'.
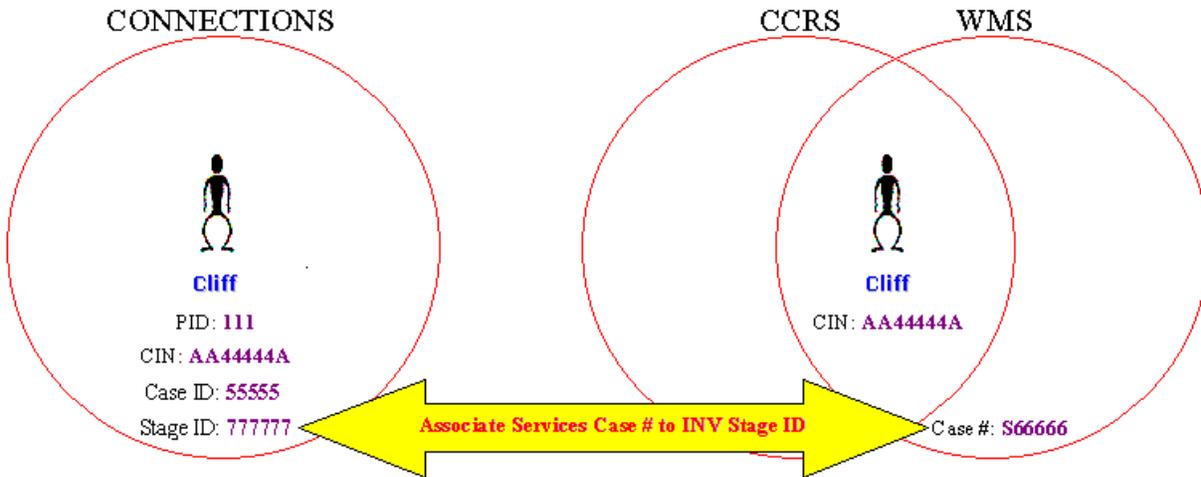
Conversion Cleanup

NOTE: CCRS and WMS Coding and Error Guides (only for WMS) are available in Public Folders.
The path is: Public Folders>All Public Folders>dfa.state.ny.us>OCFS>TSU>Services Systems Reference Documents

There are several parts to the Conversion Cleanup—linking Individuals, linking Service Cases, validating CIDs, Program Choices and Permanency Planning Goals.

Individuals are identified by a Client Identification Number (CIN) in CCRS and WMS. These same individuals, if they are known to the CONX system, are identified by a Person Identification Number (PID). Because these numbers are different, it is necessary to link an individual's CIN to their PID in CONX.

Services cases are identified by a case number in CCRS and WMS that usually follows a S12345 or similar format. A separate case number identifies cases in CONX. Because these numbers are different, it is necessary to link these two via the INV stage in CONX that prompted the opening of the services case (if there is one such stage). *Note: The CONX case ID can also be entered in WMS in the "related case" field. Refer to Appendix E for additional instructions.*

CONNECTIONS   CCRS   WMS

Cliff

PID: 111
CIN: AA44444A
Case ID: 55555
Stage ID: 777777

Associate Services Case # to INV Stage ID

Cliff

CIN: AA44444A

Case #: S66666

Each month (on or around the third Monday), a Conversion Planning Report is generated for each district. This report lists all of the WMS Services Cases with a Direct Service type of 08 (Foster Care), 17 (Child Protective Services), 25 (Mandated Preventive Services) and 26 (non-Mandated Preventive Services). The report shows if (and how) the cases and people within the cases match up to existing CONX data as well as if (and how) Staff will be assigned to these cases upon conversion.

The Conversion Planning Report has been developed in Microsoft Excel as a spreadsheet and can be used like any other spreadsheet, e.g., it can be re-sorted, filters can be applied, rows and/or column can be added or hidden, it can be saved to another location, etc. The report will reside in a shared folder, the path to which is: \\fnphsen0a1ah\groups >Connections>Conversion>{Your District ID} – {Your District Name}. Initial access to the report will be given to the Implementation Coordinator in each district. This report is password protected. To get the password for your report, call your Connections Regional Field Support staff person or Suzanne Frizzell at (518) 473-4342.

Refer to Appendix C at the end of this document for detailed explanations of what each column in the report represents.

Persons from the WMS case are matched to the persons in CONX, if possible, following the business rules for person match:

- If there is a match on CIN to PID, validate the person with the initial of the first name and the year of birth.
- If there is no match on CIN to PID, query the CONX case for exact match on full name and date of birth.
- If no match within the CONX case, query the CONX database for either a match on CIN to PID or exact match on full name and date of birth.

- If no match is found, or if multiple matches are found, create a new person in CONX.

Cases from WMS are matched to cases in CONX, if possible, following the business rules for case match:

- If WMS Case Number is found on a CONX case in the Investigation Conclusion window, then verify that at least one member of the WMS case is present in the related CONX case. This is a match on CIN # or, if no CIN # in CONX, exact name and year of birth.
- If the CONX Case Number is found in the "Related Case" field in WMS ("C" followed by CONX Case Number), then perform the same verification of one case member as above.
- If the WMS Case Number is found in the Person ID record, then perform the same verification of one case member as above. Then, the correct WMS Case Number must be entered into the Investigation Conclusion Window for that CONX Case or in the Related Case field in WMS.
- If any of the above business rules are not met, a new CONX case will be created.

Staff assigned to each case is matched following these business rules:

- Match WMS office/unit/worker code to CONX WMS ID (in Staff Detail Window). If no match, put on District Conversion Workload; if match place on Worker workload with a role of Case Manager.
- Match CCRS office/unit/worker code to CONX CCRS ID (in Staff Detail Window). If multiple workers exist, place on worker workloads with a role of caseworker. The conversion program employs special rules to determine Case Planner, which are explained further in this document
- The conversion program will NOT allow case assignment to an LDSS worker in another district from the district being converted.

Tasks

It is the responsibility of the district to research the names and cases on the report to see if there are matches that are found in the CONX application, provided that the conversion program has not already found a match. The "Action" column on the report indicates whether or not a match has been found. If it says "New Case" or "New Person", the research and applicable data entry will need to be performed.

Research for linking people involves the following (refer to the Process/Instructions section for step-by-step instructions on performing the data entry):

- Search for the case participant in CONX. If the participant is found, ensure consistency between the two systems in Name, Date of Birth, Sex, and other demographics. Suffix (Jr., Sr., III) and apostrophes (O'Brian,

O'Malley) must also be entered in CONX for the match to be successful by the conversion program. Also, ensure that each person in CONX known to WMS contains his/her CIN number. Please refer back to the matching criteria in this memo to see the validation routines the conversion program will do if matches are found.

- If you found no match on the person, the conversion program will create a new person using the person demographics from WMS. Again, this may be appropriate if the person has never been involved in a CPS investigation. The CONX address(es) will be derived from the WMS case address.

Research for linking Cases involves the following (refer to the Process/Instructions section for step-by-step instructions on performing the data entry):

- Search for the case participants in CONX. If participants are found, look at case opening dates, case composition, etc., to see if the cases should be connected. In CONX sometimes in the CPRS (Case Summary/INV/Events/CPRS) there is a column "Reason closed where one can find 'Open – court ordered services' or Open – Voluntary Services, etc Then, check the case composition, case opening dates and come to a conclusion about the cases to be linked between WMS and CONX. If they should be linked (the cases have a caretaker and child in common) and the investigation is closed in CONX, enter the WMS Case # through Local Data Maintenance. The conversion program will do a secondary level of validation for the two cases. Please refer back to the matching criteria in this memo.

- If you found a match on the case, please examine the case participants in the WMS case and compare the demographic information in WMS with that data in CONX. In general, the WMS data is more accurate but ensure that CIN numbers are present in CONX as well as making sure the full names and dates of birth match. Occasionally, WMS has a real birth date while CONX has the approximate age (e.g., 01/01/67). Please refer back to the matching criteria in this memo to see the validation routines the conversion program will do if matches are found.

- If you found no match in the case, examine the WMS case for inaccuracies in address, etc.

Consequences

There may not always be a CONX case to link to the WMS case since not all services cases result from CPS reports. If this is the situation, the system will create a new case in CONX on Day 1. However, if there is a CONX case that should be linked to a WMS

case but is not, the system will create a new CONX case. This means there will be two CONX cases that need to be merged after conversion. This will have the following impacts:

- Search response time could be impacted
- Case History will be in multiple records; the point of CONX is to have a single case record.
- Significant additional merging/cleanup will be required after rollout of Build 18.

Process/Instructions

If the individual is in involved in an open stage (other than an ARI), the data cleanup can be performed by anyone with an assigned role in the open stage or by someone who has access to the workload of such a person. The CIN for the individual can be entered in the open stage on the Person Identifiers window (see below) using the designation of Services CIN (not NYC NS CIN). The navigational path is as follows:

Assigned Workload -> Task List -> Maintain Person -> Options -> Person Identifiers

If the individual is not involved in any open stages, then the CIN for the individual must be entered using Local Data Maintenance, or LDM.

Prior to entering the CIN for an individual, you will need to determine which closed INV stage is the most appropriate to open an LDM stage in. This decision is based on the following considerations:

1. Is there an INV stage with an Open closure reason (e.g. Indicate and Open) and with a closure date that is close to or the same as the case opening date for the services case in WMS?
2. Does the INV stage contain all or most of the individuals that are listed in the open services case?
3. If there is more than one possible INV stage, which stage prompted the opening of the services case?

There are two paths into LDM: Maintain Closed Person and Maintain Closed Investigation. However, you should only use Maintain Closed Person in those instances where it is not also possible to associate the services case number from WMS with the closed INV stage in CONX, thereby reducing the number of unnecessary LDM stages.

This data entry can be performed by anyone who has the ability to complete a Person Search and has the Maintain Closed Person or Maintain Closed Investigation function. The navigational paths are as follows:

Person Search ⇒ Case List ⇒ Case Summary ⇒ Options ⇒ Maintain Closed Investigation ⇒ Person Demographics

Person Search ⇒ Case List ⇒ Case Summary ⇒ Options ⇒ Maintain Closed Person ⇒ Person Demographics

The services case number is entered on the Investigation Conclusions Tab in LDM. This can be performed by anyone who has the ability to complete a Person Search and has the Maintain Closed Investigation function. The navigational path is as follows:

Person Search ⇒ Case List ⇒ Case Summary ⇒ Options ⇒ Maintain Closed Investigation ⇒ Investigation Conclusions.

Remember: If it is also possible to enter the CIN for any of the individuals who are involved in the open services case and who are also included in the case composition for this closed investigation, then you should do so after saving your changes on the Investigation Conclusions tab, but prior to closing the LDM stage.

Step-by-Step

- In CONX, Perform a Person search for the Case Name (First and Last) of the WMS Case listed on the Conversion Report.

- Highlight the person's name and click on "Case List". If there is a CONX case, verify that it is the correct one that matches the WMS Case.
- Highlight the correct open case and click on "Summary".
- Highlight the "Appropriate" INV stage (refer to the earlier information about which INV stage is appropriate).
- Go to "Options"
- Click on "Maintain Closed Investigation"—this takes you to the Local Data Maintenance window

- Go to the Investigations Conclusion tab
- Enter the WMS Case # and click on "Validate WMS"
- Save
- Go to the Person Demographics tab

- For each person in the grid:
  - Highlight the person
  - Go to the Person Identifiers grid below and enter a new row
  - Enter the following:
    - INV- choose 'No' because it is NOT Invalid
    - Type – choose 'Services CIN' from the dropdown
    - Number – enter the CIN
    - Start Date – defaults to current date which is fine
  - Save the data
  - Note—you can have multiple identifiers for each person

  Additional Notes:

  - On the Conversion Planning report, the last column is called 'CONX_CASE'. If this is blank, that is fine. If the word 'Reopen' is in this column, it means that the system found a linked CONX case but the CONX case is closed and will be reopened by the system on Day 1. You will need to look into why the WMS Case is open and the CONX case is closed. If the CONX case is correctly closed, you might need to close the WMS case before Day 1.
  - The person performing the data entry will need to be 'IN'-assigned to the Unit in which they are doing the data entry. This is in addition to having the correct Security Profile in CONX.

Other Data Verification:

If the Service Type is wrong, either CWS, CCR or ADVPRO (for New York City only), please review the criteria for identifying the Advocates Preventive cases and make the corresponding changes to WMS to comply with those criteria.

PPG: Permanency Planning Goal

This information comes directly from codes in CCRS. If you see that this code is wrong, please change in CCRS. Occasionally, you may find that you need to change the service type as well. For example, a family was receiving preventive services but the children were removed from the home and only the Mother is receiving services. In this example, the service type may not have been changed in WMS from Service Type 26 (non-mandated preventive) to adult services. If this field is blank, there is no PPG in CCRS. If this field on the report is "N/A", the combination of PPG/PC in CCRS will not meet CONX edits and will be converted as "blanks". The worker will need to enter the valid combinations in CONX after conversion.

NOTE: PPG will not be brought forward by the conversion program for CCR cases. These PPG's must be manually entered by the user on Day 1.

CID: Case Initiation Date

This information comes directly from CCRS. In CONX, this date drives processing in terms of the Family Assessment and Service Planning, e.g., 6 months from CID is Reassessment, etc. The CID for Converted cases CANNOT be changed in CONX.

Program: Program Choice (PC)

This information comes directly from codes in CCRS. If you see that this code is wrong, please change in CCRS. If this field is blank, there is no PPG in CCRS. If this field on the report is "N/A", the combination of PPG/PC in CCRS will not meet CONX edits and will be converted as "blanks". The worker will need to enter the valid combinations in CONX after conversion.

Worker ID Cleanup

Staff members are identified in CCRS and WMS by a number that follows an Office/Unit Code/Worker code format (e.g. A93/001/002). However, these same staff members are identified by a PID in CONX. Because these identifiers are different, it is necessary to link an individual's Legacy IDs to their PID in CONX.

Task

In order to insure that cases are available at conversion for staff, complete information must be entered into the CCRS system and cross-referenced in CONX. This is a three-step activity where codes to identify staff must be entered into CCRS, then associated in CCRS to the appropriate cases, and finally, cross-referenced in CONX.

On the Staff Detail window in CONX, each staff member must have a cross-referenced WMS office/unit/worker ID (for LDSS case manager only) or a cross-referenced CCRS office/unit/worker ID (if an LDSS planner/worker or Agency planner/worker). Districts are responsible for maintaining this data entry for their staff members. Voluntary Agencies, who have not had CONX access up until now, will have to work with the districts so that the districts can do the data entry.
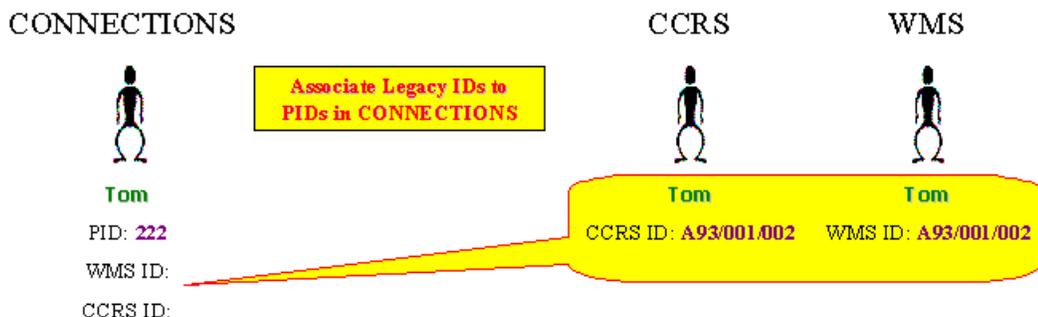
Consequences

If the worker IDs are not correctly entered or cross-referenced to legacy systems, the cases will be assigned to conversion workloads. This will have the following impacts:
- These cases will need to be assigned to the correct worker(s)
- Volume of this work post-conversion could result in missed deadlines, etc.

Process/Instructions

For Build 18, we have defined a process for this data entry. In the past, some Voluntary Agencies have written the worker ID and role information on the paper UCR's so that the data can be loaded by the districts to CCRS as the UCR's come due. However, since everyone has not done this on a regular basis, a new plan was devised.

CCRS uses a convention to identify workers that includes the agency code, unit identification and a worker code (Agency/Unit/Worker code). These codes should represent the structure of the organization, and should be consistent with the CONX security structure. The agency code is already associated with each CONX agency, but each agency will need to identify unit and worker codes for their own program.

Some counties interpret "Office" as agency code while others use site or program designations. Remember, all three fields (Agency/Unit/Worker) in CCRS and WMS must match the three fields in the Staff Detail window in CONX.

The unit codes should be something that is relevant and easily understood at the agency. The unit codes will follow the same convention as the agency code-a combination of 3 characters-alpha or numeric. Please avoid using the letters O, L or I and the number 0. For example, an agency with units that work with preventive cases may chose to use codes like "PRV" or "PR1" and "PR2" as the unit codes. Additionally, if a unit accepts cases from one particular area, that may be indicated in the unit code. For example a Preventive unit that accepts cases from Albany may have the unit code "PRA". Similar conventions can be used for Foster Care units.

Worker codes will also need to be identified. The worker codes should be numeric only. The supervisor of the unit is usually identified with the worker code 000, and staff follow a numeric coding structure. Below is an example of Agency/Unit/Worker codes for a fictitious agency XYZ

Agency XYZ
Unit code   PRV (Preventive services)
Worker code   000 (unit supervisor)
              010 Worker 1
              020 Worker 2
              030 Worker 3

Unit Code   FCA (Foster Care Albany)
Worker code   000 (unit supervisor)
                   010 Worker 1
                   020 Worker 2
                   030 Worker 3

<u>Agencies will need to keep rosters of their staff and the Agency/Unit/Worker codes associated with each employee.</u>

A form has been set up for agencies to identify unit and worker codes for all their staff. Refer to Appendix B in this document for a sample of the form. This information will be entered into CCRS by CONNECTIONS Regional Field Support staff. It should be noted that some programs might have this information entered already, either by state or local district staff. Agencies should contact a CONNECTIONS Regional Field support staff member at their local office if they believe this information has already been entered and they would like to verify its accuracy. If upon entering this information into the CCRS system, state staff identify that there are already some Agency/Unit/Worker codes in the table they will add any new codes that are listed on this form to the table, but will not modify any codes that are already listed.

An authorized representative of the agency must sign the form (or include an authorization statement in an email if sending the form electronically) giving permission for OCFS staff to enter this information into the CCRS system. Again, it is important to note that although the form does not identify particular workers to these codes, Agencies will need to keep this information on site for their records. The form should be returned to CONNECTIONS Regional Field Support Staff who can check it for correctness and then forward it to Suzanne Frizzell. She will assign it to one of the data clean up staff to enter into CCRS. They will enter and let you know when it is complete. The email should also be cc'd to the Regional Team Lead (Kim Bowler-Ciezkowski or Nancy Wise).

After the information that identifies the Agency/Unit/Worker codes for staff has been entered into CCRS, it will be necessary to associate cases with the appropriate workers. This task will need to be completed by the local district that has responsibility for the case. CONNNECTIONS Regional Field Support staff can help voluntary agencies coordinate this with the local districts. Refer to Appendix D in this document for specific instructions on how to complete this data entry.

Finally, the IDs will need to be cross-referenced in the CONX application. This can be performed by anyone in your agency who has the Maintain Person function. The CCRS and WMS IDs for an individual can be entered in the fields shown below on the Staff Detail window. The navigational path is as follows:
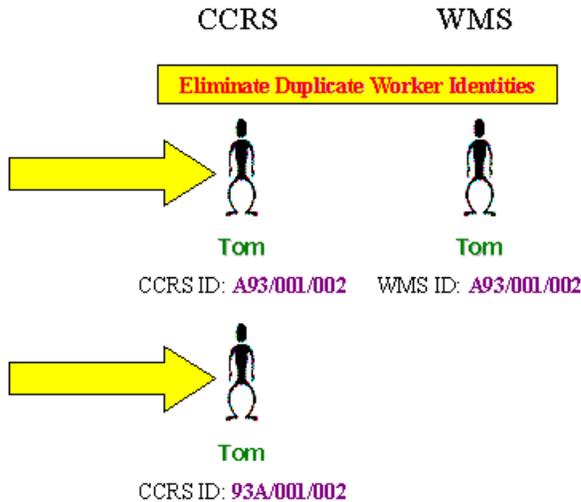
Maintain⇒ Maintain Staff⇒ Staff Search⇒ Staff Detail

Note: The CCRS ID and WMS ID fields in CONX are case sensitive! You MUST use capital letters in these fields if you are using any alphabetical characters. If you have "A54/CPS/000" in WMS and "a54/CPS/000" in CONX, they will not match!

Also, a district or agency may choose to leave the first three characters (agency code) blank in CCRS or WMS, which is ok as long as the same three characters are blank in CONX. For instance, " /CPS/000" in WMS will match " /CPS/000" in CONX but "A54/CPS/000" in WMS will NOT match " /CPS/000" in CONX. The fields in WMS and CCRS must exactly match the CONX WMS ID and CCRS ID fields. The fields will even match if they are not 3-characters—as long as they are identical. For instance, "A54/CP / 00" in WMS will match "A54/CP / 00" in CONX.

As with the issue of multiple persons in CONX, it is very important to eliminate any duplicate identities that your staff may have in CCRS and WMS. This is accomplished by first deciding which identify to keep, then reassigning all of the cases from the duplicate identities to this one identity.

You will want to make sure that staff are informed of any changes that are made regarding staff identities in CCRS and WMS so that they do not continue to use any of the duplicate identities.

CCRS   WMS

Eliminate Duplicate Worker Identities

Tom   Tom
CCRS ID: A93/001/002   WMS ID: A93/001/002

Tom
CCRS ID: 93A/001/002

Conversion Scenarios

The following four scenarios are provided to illustrate some of the results of complete/incomplete data cleanup before Build 18.

Scenario 1 – all info correctly cross-referenced

In the following scenario, consider the WMS Case, the associated CONX case and the CONX Worker Detail info:

WMS Case ID: 123	CONX Case ID: 999
Person 1 CIN: 444	WMS Case ID: 123
Person 2 CIN: 555	Person 1 CIN: 444
WMS Worker ID: Worker A	Person 2 CIN: 555

WMS Caseworker: Jane Doe
CONX Worker Detail for Jane Doe: WMS Worker ID = Worker A

On Day 1, the conversion process will look at WMS Case ID 123 and see if there is a link to CONX. Since CONX Case ID 999 has a link to WMS Case ID 123, the match will be found. Likewise, since all of the people in the WMS Case and the CONX Case have linked CINs, the secondary match will be found.

Finally, Since Caseworker Jane Doe in CONX has a reference to her WMS Worker ID, the CONX case will show up on the her workload on Day 1.

Scenario 2 – no cross-referencing information

In the following scenario, consider the WMS Case, the associated CONX case and the CONX Worker Detail info:

WMS Case ID: 123   CONX Case ID: 999
Person 1 CIN: 444   WMS Case ID: {null}
Person 2 CIN: 555   Person 1 CIN: {null}
WMS Worker ID: Worker A   Person 2 CIN: {null}

WMS Caseworker: Jane Doe
CONX Worker Detail for Jane Doe: WMS Worker ID = {null}

On Day 1, the conversion process will look at WMS Case ID 123 and see if there is a link to CONX. Even though CONX Case ID 999 might be the right one, since there is no specific link in CONX to WMS Case ID 123, the system will not realize it is a match and will create a new case, say CONX Case ID 666. Similarly, since there are no CIN matches in the CONX Case ID 999, new people will be added to the new CONX case. What this means is that you'll end up with the following:

WMS Case ID: 123   CONX Case: 999   CONX Case ID: 666
Person 1 CIN: 444   WMS Case ID: {null}   WMS Case ID: 123
Person 2 CIN: 555   Person 1 CIN: {null}   Person 1 CIN: 444
WMS Worker ID: Worker A   Person 2 CIN: {null}   Person 2 CIN: 555

The two CONX cases 999 and 666 will then need to be merged. Additionally, since there is no cross-reference of the WMS Worker ID to Jane Doe in CONX, the new CONX Case ID 666 will show up on a Conversion Workload and it will need to be transferred to Jane Doe.

Scenario 3 – correct case and person cross-reference, no worker cross-reference

In the following scenario, consider the WMS Case, the associated CONX case and the CONX Worker Detail info:

WMS Case ID: 123   CONX Case ID: 999
Person 1 CIN: 444   WMS Case ID: 123
Person 2 CIN: 555   Person 1 CIN: 444
WMS Worker ID: Worker A   Person 2 CIN: 555

WMS Caseworker: Jane Doe
CONX Worker Detail for Jane Doe: WMS Worker ID = {null}

On Day 1, the conversion process will look at WMS Case ID 123 and see if there is a link to CONX. Since CONX Case ID 999 has a link to WMS Case ID 123, the match will be

found. Likewise, since all of the people in the WMS Case and the CONX Case have linked CINs, the secondary match will be found.

Finally, Since Caseworker Jane Doe in CONX has no reference to her WMS Worker ID; the CONX case will show up on the Conversion Workload list and will need to be transferred to Jane Doe.

Scenario 4 – no case and person cross-reference, correct worker cross-reference

In the following scenario, consider the WMS Case, the associated CONX case and the CONX Worker Detail info:

WMS Case ID: 123	CONX Case ID: 999
Person 1 CIN: 444	WMS Case ID: {null}
Person 2 CIN: 555	Person 1 CIN: {null}
WMS Worker ID: Worker A	Person 2 CIN: {null}

WMS Caseworker: Jane Doe
CONX Worker Detail for Jane Doe: WMS Worker ID = Worker A

On Day 1, the conversion process will look at WMS Case ID 123 and see if there is a link to CONX. Even though CONX Case ID 999 might be the right one, since there is no specific link in CONX to WMS Case ID 123, the system will not realize it is a match and will create a new case, say CONX Case ID 666. Similarly, since there are no CIN matches in the CONX Case ID 999, new people will be added to the new CONX case. What this means is that you'll end up with the following:

WMS Case ID: 123	CONX Case: 999	CONX Case ID: 666
Person 1 CIN: 444	WMS Case ID: {null}	WMS Case ID: 123
Person 2 CIN: 555	Person 1 CIN: {null}	Person 1 CIN: 444
WMS Worker ID: Worker A	Person 2 CIN: {null}	Person 2 CIN: 555

The two CONX cases 999 and 666 will then need to be merged. However, since there is a cross-reference of the WMS Worker ID to Jane Doe in CONX, the new CONX Case ID 666 will show up on Jane Doe's workload.

Appendix A: Special Instructions when merging people within the same stage.

In addition, please check other stages that contain these same potential duplicates. Consistency among all stages the two or more records appear in is necessary prior to merging.

- For every case identified as having duplicate person ID's, print the person list of each INV stage to see if the two PIDs are in the same stage(s).
- If there are two or more INV stages and each PID is found in a stage but no INV stage has both PIDs, then follow general merge instructions.
- If only one stage has both PIDs, you must select that stage to complete the merge. Merge the two person IDs from within the stage containing both PIDs, and CONX will recalculate the roles.
- When 2 PIDs have two or more stages in common, there is the potential that the merge could create a role conflict in those stages. From the stages with both PIDs, choose the stage in which you want to perform the merge. All the other shared stages with these PIDs must meet one of the following conditions in order to avoid creating a role conflict:
  - If the same person (PID) within all the other shared stages has a role of UK, NO or XE, then merge. (Keep the PID with the role other than these roles.)
  - If both persons (PIDs) within all the other shared stages have the same role in each stage, merge.
  - If both persons (PIDs) within all the other shared stages have different roles within the same stage but the roles are in the same 'series' (see below), AND, one PID always has a lower role in all the shared stages, then merge.
  - ROLES Hierarchy (highest to lowest): Child – CA-CM-AB-MA-NA-NM-UK-NO-XE; Subject – CS-AS-NS-UK-NO-XE
  - If these conditions are not met in any of the other shared stages, additional data maintenance is required to complete the merge. You must correct the data so that the conditions listed above are met.

Appendix B: Sample sheet for Worker ID Cleanup

Voluntary staff in CCRS: Agency/Unit/Worker Codes
*****Please note that information about staff assigned to these codes must be
kept on file at each Agency*

Agency Name _____ Agency Code_____

Agency contact: Name_____
                   Phone_____

I authorize New York State OCFS to enter this information into the CCRS
system on behalf of the above agency

_____
Signature

Unit Code_____   Unit Code_____

Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____

Unit Code_____   Unit Code_____

Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____
Worker Code_____   Worker Code_____

Appendix C: Description of Conversion Planning Report Columns

Data displayed on the report is as follows:

District ID: The number associated with that district

WMS Case: The WMS case number to be converted

WMS Case Name: The name of the case in WMS

Action: The ACTION field can relate either to a case or to a person.

"New Case" or match reason.

- IC_CIN = case found using data from matching WMS # in investigation conclusion and validation of a CIN.
- IC_NMDOB = case found using data from matching WMS # in investigation conclusion and matching exact name/Date of Birth in CONX with one of the WMS case members.
- RC_CIN = case found using data from WMS related case fields and validation of a CIN
- RC_NMDOB = case found using data from WMS related case fields and matching name/Date of Birth in CONX with one of the WMS case members.
- PI_CIN = case found using data from person identifiers field and validation of a CIN (Must be entered in CONX Investigation Conclusion or WMS Related Case Field to convert. This field is reported ONLY to provide the user with information on potential case matches.).
- PI_NMDOB = case found using data from person identifiers field and matching name/ Date of Birth in CONX with one of the WMS case members. (Must be entered in CONX Investigation Conclusion or WMS Related Case Field to convert. This field is reported ONLY to provide the user with information on potential case matches.).
- NEW CASE = case validation logic failed or no case match entered

Action: "New Person" or match reason.

- IC_CA_CIN = person found using data from case match (based on investigation conclusion) and CIN.
- IC_CA_NDOB = person found using data from case match (based on investigation conclusion) and name/Date of Birth
- IC_FT_CIN = person found starting with case match (based on investigation conclusion) and full system scan by validation of a CIN.
- CIN IC_FT_NDOB = person found starting with case match (based on inv conclusion) and full table scan by name/Date of Birth

- RC_CA_CIN = person found using data from case match (based on related case field) and CIN
- RC_CA_NDOB = person found using data from case match (based on related case field) and name/DOB
- RC_FT_CIN = person found starting with case match (based on related case field), and full table scan by CIN
- RC_FT_NDOB = person found starting with case match (based on related case field), and full table scan by name/DOB
- PI_CA_CIN = person found using data from case match (based on person identifiers field) and CIN
- PI_CA_NDOB = person found using data from case match (based on person identifiers field) and name/DOB
- PI_FT_CIN = person found using data from case match (based on person identifiers field) and full table scan by CIN
- PI_FT_NDOB = person found using data from case match (based on person identifiers field) and full table scan by name/ DOB
- FT_ANY_CIN = person found from full table scan by CIN
- FT_ANY_NDOB = person found from full table scan by name/ DOB

WMS CIN: The CIN number of the WMS case participant

WMS Last Name: The last name of the WMS case participant

WMS First Name: The first name of the WMS case participant

CONX ID: CONX Case/Person ID associated (If Matched)

DT WMS DOB: WMS date of birth of the WMS case participant

CIN Status: CIN not found in CONX, or Matched, or CONX Case Number, or CIN found, DOB (date of birth) conflict. When the case is matched on PI_CIN, the matched stage ID will be listed in this column.

Services Type: Always CWS or CCR (service types 01 Adoption AND 08 Foster Care in WMS) or ADVPRO for NYC Advocates Preventive Cases.

PPG: Permanency Planning Goal from CCRS for that child. If this code is blank, there is no data in CCRS for that child or the case is a CCR. PPG will not be brought forward from a CCR. If this code is N/A, the PPG/PC combination in CCRS will not match the new edits in CONX and these codes will not be converted (blanks will be in CONX and the worker will need to enter valid PC and PPG Codes.).

CID: Case Initiation Date from CCRS for that child

Program: Program Choice(s) from CCRS for that child. If this code is blank, there is no data in CCRS for that child. If this code is N/A, the PPG/PC combination in CCRS will not match the new edits in CONX and these codes will not be converted (blanks will be in CONX and the worker will need to enter valid PC and PPG Codes.).

CASE MANAGER: The Case Manager the CONX case will be assigned to. Format is:

- Last name first name if matched OR

- CONV WRKR (WMS code) if cannot be matched to a worker in the CONX Staff Detail window.

CASE PLANNER: The Case planner from CCRS (Worker with "P" role on oldest tracked child in care, or, if no tracked children in care, the oldest child).

- Last name first name if matched OR

- LDSS Planner (CCRS code) if cannot be matched to a worker in the CONX Staff Detail window OR if the planner code in CCRS is the same as the Case Manager's. (will not be put on the same workload twice) OR

- LDSS Planner (Agency Code) if no planner is found for any child the agency with planning authority in CCRS. This will result in the case being put on the Conversion workload for that agency.

- LDSS Planner (??): This means no planner was found nor does any agency have planning authority.

CASE WORKER: all the workers assigned to any child in the CCRS case. If the conversion program can match the office/unit/worker code in CCRS with the Staff Detail window in CONX, the PID of the worker(s) will be displayed. Otherwise, this field will be blank.

CONX CASE: if blank, the case is open; if "re-open", the CONX case is closed and must be reopened by the conversion program at the time of conversion.

Appendix D: Instructions for Establishing Workers in CCRS

In CCRS to see the list of active agency unit/workers:
- Go to the 19 screen
- input P in the function column
- input $ in the case number column
- input the agency code in the agency column
- transmit
- you will be brought to the Supervisor Function 1 Screen
- This screen displays the list of active unit/workers of the agency.

To delete or input new/worker code hit shift/F1. You will be brought to the supervisor function 2 page.

> Put an x after update to add unit/worker; or
> Put an x after delete to remove a unit(s) and/or worker(s)

Note: only one type of change (add or delete) can be done at a time.

When you have completed your entries, transmit. You will receive a "tip scheduling error 050 – resend last input". Ignore this message and retransmit. You will be returned either to the 19 screen or the WMS MENU screen. It is important to return to the Supervisor Function 1 screen to verify that your changes were accurately saved.

Note: The district staff will also need to identify the Case Planner for each case in CCRS. The CCRS "Role" will be 'P' for Planner and any other value (actual values or blank) for a caseworker.

Appendix E: Entering CONX Related Case Number in WMS

When you are unable to enter the WMS Case ID in CONX, the alternative would be to enter the CONX Case ID in WMS.

The CONX case ID will be entered in the related case number field on the # 2970 WK2 section.   When this data entry is done, it will generate a new Auth. Number. This is fine—as long as the new Auth. Number is noted because any future updates to that WMS Case would need this new number.

When performing the data entry, the CONX Case ID must be prefaced with a 'C' so it can be distinguished from other values in that field, e.g. for Medicaid cases, etc.

```
CSMS\WMS UPSTATE PRODUCTION for GLOBAL USERS                         _ 8 X
File  Edit  Help
WINQ17                 SERVICES CASE INFORMATION     DATE 02/03/05    PAGE 01 OF 01
CASE # S245520     TYPE SERV      STAT ACTIVE   PEND-STAT NO PEND   AUTH 04770773
NAME  LAWRENCE JOSEPH                 DIST ALBA        AUTH-PER 01/12/05-07/12/05
         LOC-OFF 9     UNIT 200     WORKER 202      APP-DATE 09/01/03
MAILING ADDRESS
                                          TRANS-TYPE 05
                                          TRANS-DATE 01/20/05 REUSE-IND
                                          REASON
                    TRANSACTING     TRANSACTING
RELATED CASE # S  F/L UNIT  WKR   F/L UNIT  WKR


                                          ANTICIPATED FUTURE ACTION
                                             LN    CODE         DATE

********** INCOME **********
LN  SOURCE     AMT     PERIOD    FAM  ELIG-PROC
                                A




                                          ROW=24 COL= 79
24                          FT_ANY_NDOB AE20422V  GREEN          DENISE     63204
25                          FT_ANY_NDOB CS57212X  HOLMES         QUINLIN    83346
|◄ ◄ ► ►|\ Sheet1 / Sheet2 / Sheet3 /                  |◄|                      ►|
Ready                                                    CAPS
```