

Please dial into the voice portion of this webinar at 1-866-394-2346, code is 1860245595, you may also use your computer speakers

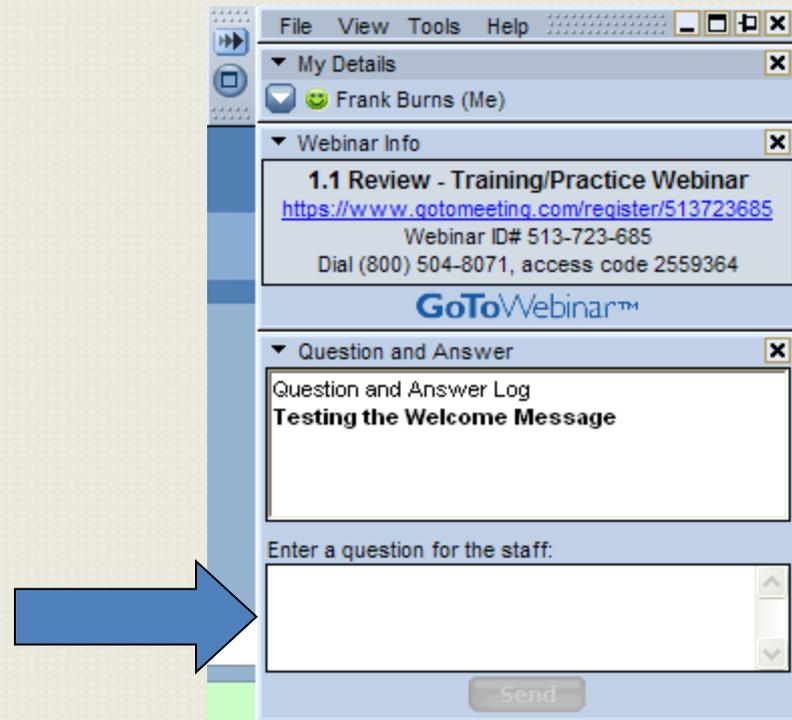
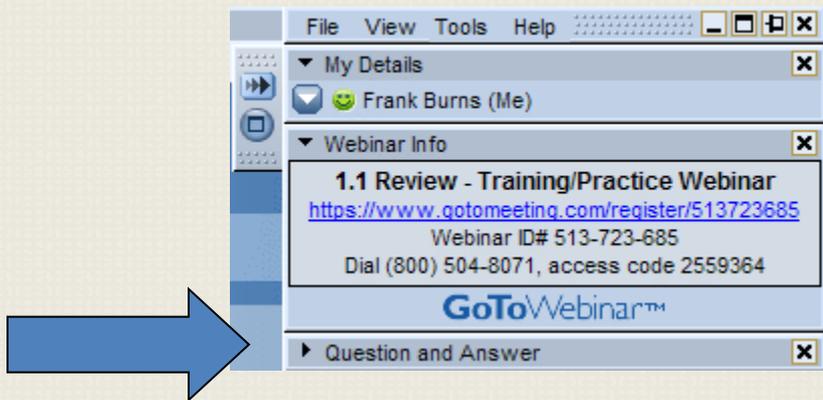
MENTAL HEALTH BACKGROUND CHECK

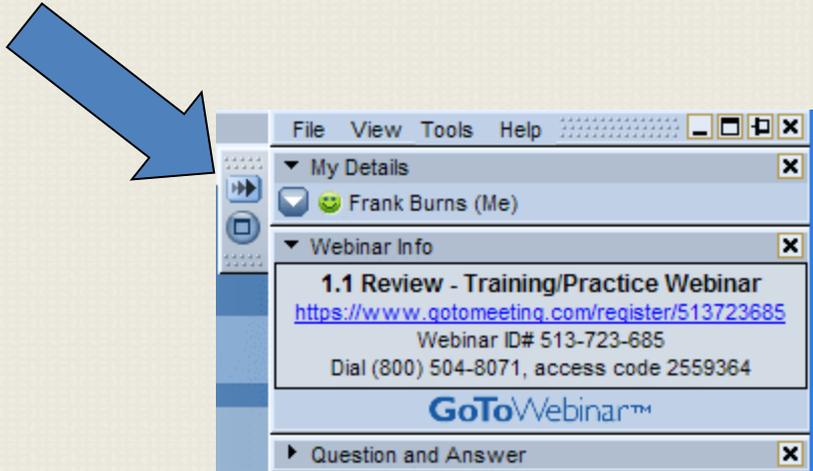
For Pistol Permit & Employment

Introduction & Quick Overview
By John Allen



Date: 6/1/2012







MENTAL HEALTH BACKGROUND CHECK (MHBC) Agenda

Welcome	5 Minutes
<u>Session A</u> MHBC – Introduction , Pilot Project Scope & Deliverables	10 Minutes
<u>Session B</u> MHBC - User Registration & Access Management <ul style="list-style-type: none">• OMH – Security Management System• OMH – CNDA Processing• User Page & Search Functionalities• Adding & Editing of MHBC User Profiles	20 Minutes
<u>Session C</u> MHBC - Security Enrollment, User Login & Confidentiality Attestation	10 Minutes

MENTAL HEALTH BACKGROUND CHECK (MHBC) Agenda (Continued...)

<p><u>Session D</u> MHBC - <u>Pistol Permit Background Check</u></p> <ul style="list-style-type: none"> • Current & New Business Process • Inquiry Request Submission & Review • Inquiry Request Re-Submission • Inquiry Results – Review & Analysis • Inquiry Results – Document Generation 	<p>30 Minutes</p>
<p><u>Session E</u> MHBC – <u>Employment Background Check</u></p> <ul style="list-style-type: none"> • Automated Business Process • Inquiry Request Submission & Review • Inquiry Results – Review & Analysis • Processing Steps & Business Rules 	<p>15 Minutes</p>
<p><u>Session F</u> MHBC – <u>Recap & Next Steps / QA Session</u></p>	<p>15 Minutes</p>

MHBC

INTRODUCTION, PILOT PROJECT SCOPE & DELIVERABLES



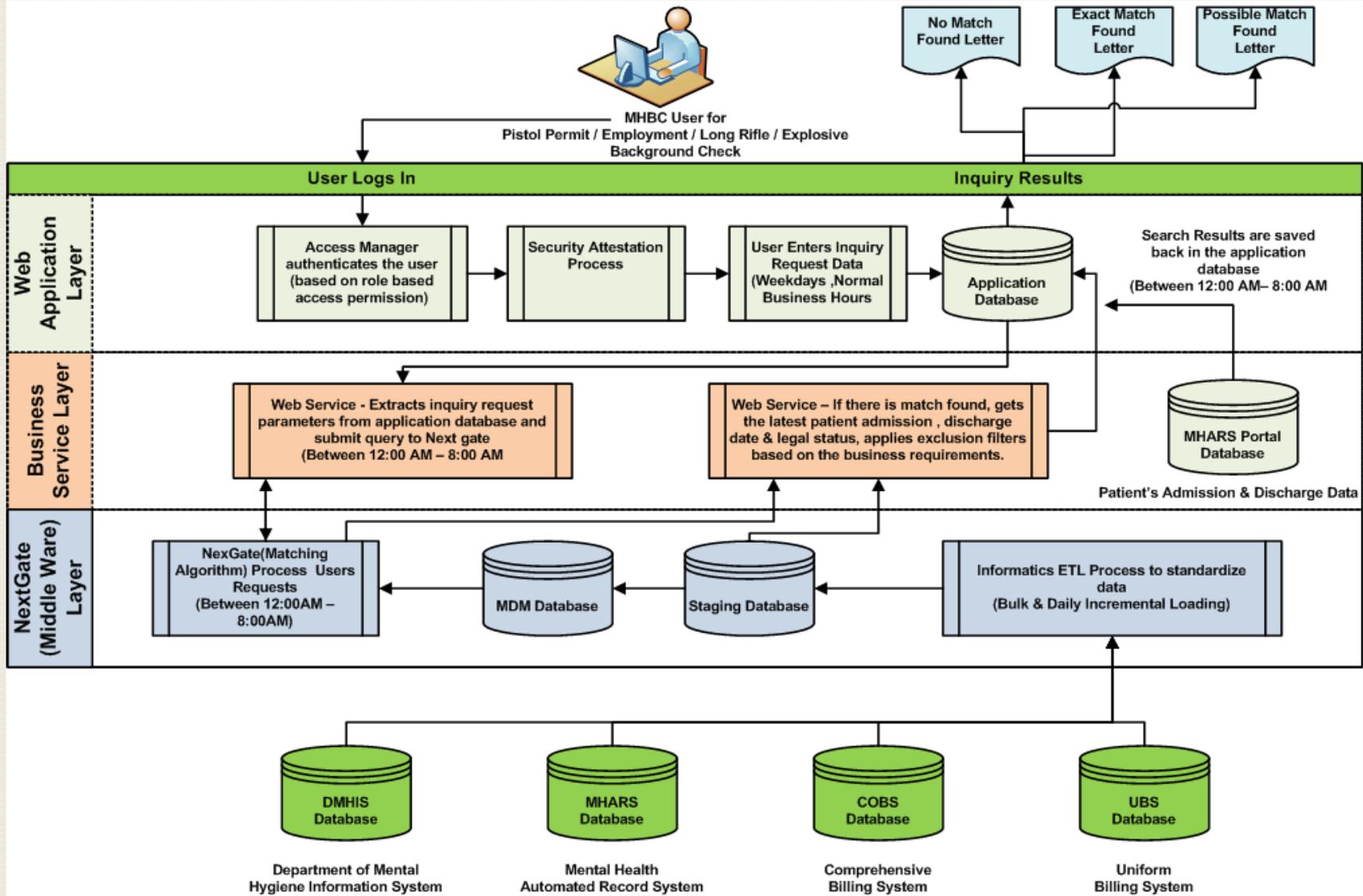
Session A (Duration 10 Minutes)



MENTAL HEALTH BACKGROUND CHECK (MHBC) Introduction

- **The new automated Mental Health Background Check which will allow your organization user to perform searches of public mental health systems automatically.**
- **Your organization will be able to use this system for mental health background checks for individuals requesting :**
 - 1. Pistol Permits,**
 - 2. Rifle Permits,**
 - 3. Explosives Permits**
 - 4. Certain types of Employment.**
- **Using this new system, you will be given notification of the results within 24 hours of request.**
- **Access to this system is limited to members of local law enforcement with responsibility for pistol permits, long rifles, explosives and certain types employment.**
- **HIPAA and Information Security Training are required for any staff authorized to use the system.**

MENTAL HEALTH BACKGROUND CHECK (MHBC) High Level Workflow Diagram





MENTAL HEALTH BACKGROUND CHECK (MHBC) MHBC Web Portal

To open this web portal, MHBC user will enter the following URL <http://www.omh.ny.gov/omhweb/mhbc/> in the address field of their web browser.

The screenshot shows the homepage of the MHBC web portal. At the top, there is a navigation bar with "New York State" and "State Agencies" on the left, and a search bar for "Search all of NY.gov" on the right. Below this is the "Office of Mental Health" header, including the name of the Commissioner (Michael F. Hogan, PhD) and the Governor (Andrew M. Cuomo). A secondary navigation bar contains links for Home, News, Data & Reports, Publications, Resources, Employment, and A-Z Site Map. There are also language options: 中文, Русский, Español, and Kreyòl Ayisyen. A message from Commissioner Hogan is visible, along with links for About OMH, OMH Facilities, Initiatives, Contact OMH, and FAQ. The main content area is titled "The Automated Mental Health Background Check (MHBC)" and contains a paragraph explaining the system's purpose. Below this are two buttons: "Log onto the MHBC System" and "MHBC User Guide". A section titled "Health Insurance Portability and Accountability Act (HIPAA) and Information Security Training are required for any staff authorized to use the system." follows, with a note to use the links below for trainings and materials. This section includes a "HIPPA" sub-header and a list of links: "Health Insurance Portability and Accountability Act (HIPAA) Privacy Training", "HIPAA Training Slides (1 mb)", "Office of Mental Health (OMH) Training Video Script (text only)", "OMH HIPAA Training Video Script (text with graphics)", "OMH HIPAA Privacy Rule Preemption Analysis and Updates", and "OMH Employee HIPAA Awareness Brochure". Another section titled "Information Security Training" includes links for "2005 Information Security Training (IST) Program", "Security Awareness and Computer User Responsibilities (111kb)", and "From HIPAA to Health Information Technology for Economic and Clinical Health (HITECH). Privacy and Security Basics (388kb)". The footer contains a navigation bar with links for Home, News, Publications, Resources, Employment, Mental Health Acronyms, Mental Health Links, and A-Z Site Map.



MHBC - PISTOL PERMIT

Pilot Project – Scope & Deliverables

- **Web enabled application will replace the current manual search process of the Department of Mental Hygiene Information System (DMHIS) database.**
- **The new application will automate the searches requested by police departments, sheriff's office and county courts.**
- **This will not only automate the search process for pistol permits, it will also improve the OMH response time to external requestors.**
- **All the MHBC users are assigned a well defined role based access permission depending upon their organizational needs.**
- **User - will be able to save information and view the results for all inquiries submitted by their organization ONLY**
- **In the phase one of this project, this application will initially be piloted to three NYS counties:**
 1. **Monroe**
 2. **Erie**
 3. **Suffolk**



MHBC – EMPLOYMENT

Pilot Project – Scope & Deliverables (Continued...)

- **This application will replace the current manual search process of the DMHIS databases.**
- **MHBC for employment verification will automate the background checks requested by:**
 - 1. Municipalities,**
 - 2. Police departments & State Troopers,**
 - 3. State Parks & Recreation Departments,**
 - 4. Department of Corrections,**
 - 5. Other users from Counties, Towns & Villages.**

MHBC USER REGISTRATION & ACCESS MANAGEMENT



Session B (Duration 20 Minutes)



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

OMH Security Management System (SMS)

The following are the steps required for managing user access to MHBC users through the OMH Security Management System (SMS):

- **The Security Management System (SMS) is a web-based application that organizations will use to authorize staff members to access certain NYS Office of Mental Health (OMH) web applications including MHBC pistol permit.**
- **The NYS Office of Mental Health (OMH) requires all organizations to sign a Confidentiality & Non-Disclosure Agreement (CNDA) prior to using SMS.**
- **Organization directors will appoint a Security Manager for their organization, and will provide this person with the information necessary to complete the Security Manager self-registration.**
- **Once a Security Manager account is fully established, the security manager will create MHBC users or update if an account already exists, within their organization and request access to the MHBC Pistol Permit background check application.**
- **A complete Security Management System Reference Manual can be found at http://www.omh.ny.gov/omhweb/sms/reference_manual.html**



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

OMH CNDA Processing

OMH Letter Sent to Organization’s Directors Describes OMH CNDA Requirement:



Dear Mr. Director:

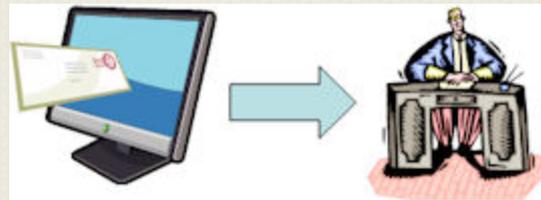
You are receiving this letter because, according to information on file at the NYS Office of Mental Health (OMH), you are the Director of your Organization. We are providing you advance notice of an important initiative that will automate the processes involved with granting you and your staff access to OMH Web sites and applications that provide information useful to your operation...



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

OMH CNDA Online Access

**OMH Emails Sent to Organizations Directors Describe How to Access OMH CNDA Online
OMH CNDA Emails with Director's User ID and Password**



Dear Mr. Director:

This is one of two emails you will be receiving regarding the NYS Office of Mental Health (OMH) CNDA Web site. This email contains a new User ID you can use to access the CNDA Web site to view and "electronically sign" the OMH Confidentiality and Non-Disclosure Agreement (CNDA) which is required before your organization is granted access to the MHBC, Patient Characteristics Survey (PCS), PSYCKES Medicaid, and other OMH applications. For security purposes, your password will be sent in a separate email.

Go to: <https://cnda.omh.ny.gov/>



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

OMH CNDA Sign-In Screen

OMH CNDA Sign-In Screen at <https://cnda.omh.ny.gov/>

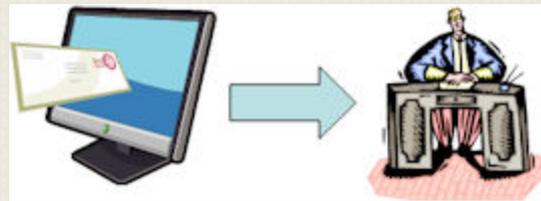
The screenshot shows the OMH CNDA Sign-In Screen. At the top, there is a header with the New York State logo and the text "NEW YORK STATE Office of Mental Health". Below the header is a "Statement of Access and Confidentiality" section. The main content area contains a login form with fields for "Userid:" (containing "omhuser") and "Password or Passcode:" (containing "*****"). A "Login" button is located below the password field. A note states: "Note: To log-on with a new token, enter just the six digits displayed on the token device." On the left side of the login form, there is a photo of a group of people and a portrait of Michael J. Nagler, Ph.D., Commissioner. At the bottom of the page, there is a copyright notice: "© Copyright, 2005 New York State Office of Mental Health. All Rights Reserved."



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

OMH - Accessing Security Management System

**Accessing OMH Security Management System (SMS) after Signing CNDA
OMH SMS Email to Director for Security Manager Assignment**



Dear Mr. Director:

As described in previous correspondence and email, the NYS Office of Mental Health (OMH) is automating and streamlining the process of gaining access to OMH Web applications. The next step in the process is for you, the Director, to assign one or more Security Managers for your agency. You can assign this role to yourself, or delegate it to a trusted individual at your agency. Typically, this assignment will be given to your organization's Information Security Officer, or other individual performing security, and/or information technology functions.

MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS Log-in Procedure

- The Security Management System Homepage (<http://www.omh.ny.gov/omhweb/sms/>) provides a description of the application, the user manual, answers to Frequently-Asked Questions (FAQs), and links for self-registration and log-in to the application.
- A SecurId token is required to log-in to the Security Management System (SMS). A SecurId token is an authentication device with a computer chip that displays a different, single-use 6-digit number every minute. A Personal Identification Number (PIN) will need to be established, which will be used along with the 6-digit token code to log-in to SMS.
- Most of the Security Managers will be in new PIN mode and will be required to set their PIN before log-in to SMS.
- The Security Manager follows the link to SMS, enters the User ID and Passcode (consisting of the PIN and 6-digit token code).

NEW YORK STATE
Office of Mental Health

Statement of Access and Confidentiality

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

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

Userid: omhuser
Password or Passcode: ●●●●●●

Note: To log-on with a new token, enter just the six digits displayed on the token device.

Login

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MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS – User Page

- **After signing-on to SMS, the SMS "Users" page will be displayed. This page contains a scrollable list of all the User IDs assigned to your agency.**
- **Initially, the list may be empty (indicated by [Count: 0]), or if your organization has users of OMH applications such as CAIRS, NIMRS, NYESS, MHPD, PCS, PSYCKES and Medicaid, their User IDs will be displayed.**
- **Any User IDs that you add should also appear in this list.**

MHBC - USER REGISTRATION & ACCESS MANAGEMENT

SMS - User Page (Continued..)

New York State Office of Mental Health Wednesday, August 05, 2009

Security Management System [SMS]

Vinod R. Ravikumar [Logout](#)

[Go To](#) [Help](#) [About](#)

Users

User List: **User Count = 65**

Select a userID from the list below to grant the user access to an application. (Currently, PSYCKES Medicaid and PCS are the only applications available.) If an individual is not listed, you can create a userID for him/her by clicking on the "New User" button and completing the "New User" screen.

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

Edit User ID	Name	Token Assigned
HJA12410	Adshs, Herald J.	requested: 07/29/2009
GA12410	Ahome, Garfieldmoore	no
AAB12410	Bhaumik, Amith A.	sent: 11/12/2008
L8633EZB	Brew, Erin Z.	no
JLC12410	Cary, James L.	no
L8633ESD	Daskjd, Erin S.	no
GD12410	Derbyshire, George	requested: 07/01/2009
D	Dfdafadfd, Sdaff	no
12410DD	Dobre, Djien	no
ZJD12410	Donald, Zobre J.	no

[New User](#)

Search Criteria:

Agency:

Application:

User ID:

Name: Last Name: First Name:

Show deactivated user:

[Search](#)



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS-User List Section

- **The "User List" contains one row for each User ID defined for your agency.**
- **Edit (this icon is a picture of a small pencil). You click this icon to edit the user record. The edit user screen is where you grant access to OMH applications.**
- **User ID. This is the OMH identifier for the user. This identifier is used to sign-on to MHBC Pistol Permit applications**
- **Name. This field displays the user's last name, followed by the user's first name and middle initial.**



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS- Search Criteria Section

- **The “Search Criteria” section is located at the bottom of the “Users” page following the User List and New User button.**
- **The “Search Criteria” section is the mechanism Security Managers use to limit the User IDs displayed in the User list.**
- **It contains the following searchable fields: Application, User ID, Last Name, and First Name. In your search query you may select an OMH Application from the drop down list, enter a specific User ID, last name or first name, or you may enter just the first part of any of these fields.**
- **When searching by Application, it will only show you applications that are granted through SMS i.e. you will not be able to search on NIMRS or CAIRS users, since they are not granted through SMS.**
- **Then, when you click the “Search” button, these fields will be used to filter the search results and display only User IDs that match the criteria you selected.**
- **If you enter values in more than one of the fields, the search results displayed in the User list will include only User IDs that match all of the criteria selected.**



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS- Adding a New User

- If the User does not have an existing ID, leave the User ID box blank. The Security Manager proceeds to complete the User information and select the "Create User" button.
- Fields denoted with an asterisk (*) are required. A new User ID will be generated for the User. If a User by that name already exists for the agency, the system will show a message that a User with that name is among the “active” or “inactive” users. To check the inactive users, see the [Search Criteria](#) section of the User’s Page.

User Information:

If the user has an existing OMH User ID, please enter it in the User ID box. If the user does not have an OMH User ID, please leave the User ID box blank. SMS will auto generate a new User ID.

User ID:

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

Name:

* Date of Birth: * Gender:

* Title:

* Email:

* Agency: A-Home

SecurID® Token: Not assigned



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS- Adding a New User

- **If a User already has an OMH User ID for access to another application, please enter it in the User ID field.**
- **Upon entering a current User ID in the field and exiting the field (by selecting the next field), the screen will respond with a message that the User ID is valid and will display the retrieved User information.**
- **You may close the window. A similar message will display if the User information was not found in the security database.**
- **You can edit the User's email address and your edits will be stored in the SMS application. Fields denoted with an asterisk (*) are required.**



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS- Reset User Password

Click "Reset Password" to reset the user's password. This system responds with the following message once the password is reset.

A screenshot of the Security Management System [SMS] web interface. The page header includes the New York State Office of Mental Health logo, the date "Tuesday, July 14, 2009", and the system title "Security Management System [SMS]". Below the header, there are navigation links for "A-Home", "Go To", "Help", and "Logout". The user's name "Vinod R. Ravikumar" is displayed in the top right. The main content area shows a link for "Edit User". A yellow message box at the bottom of the page contains the text "The user's password has been reset." and a "Close" button.



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS- Editing User Information

- **To edit the information for an individual at your agency, you will need to sign-on to SMS.**
- **From the SMS "Users" page, you should access the "Edit User" page by clicking on the "pencil icon" in the "Edit" column on the row for the user in the "Users List" section.**
- **The "Edit User" page will be displayed with the user's name, email address, date of birth, gender, and current application access.**



MHBC – USER REGISTRATION & ACCESS MANAGEMENT

SMS- Editing User Information

New York State Tuesday, July 14, 2009
om Security Management System [SMS]
Office of Mental Health A-Home Vinod R. Ravikumar

[Go To](#) [Help](#) [Logout](#)

Edit User

User Information:

User ID:	L8633VRR		
Name:	* First Name: Vinod	M.I.: R	* Last Name: Ravikumar
* Date of Birth:	01/01/1975	* Gender:	Male
* Title:	Title		
* Email:	coevvrr@omh.state.ny.us		
* Agency:	A-Home		
SecurID® Token:	Not assigned		

MHBC SECURITY ENROLLMENT, USER LOGIN, & CONFIDENTIALITY ATTESTATION



Session C (Duration 10 Minutes)

MHBC – SECURITY ENROLLMENT

Security Enrollment Process

- All MHBC users are required to identify themselves by completing the security enrolment process.
- Steps are described in the next slide.

 **NEW YORK STATE**
Office of Mental Health

Statement of Access and Confidentiality

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

Please identify yourself by answering the security question below.

Question: ~~What was the last name of your~~ favorite teacher in final year of high school?
Answer:

Question: ~~What was your favorite subject in~~ high school?
Answer:

Question: ~~What is your favorite European~~ city?
Answer:

Hide my answers

Register This Computer

This is a personal computer. Remember it.
 This is a public computer. Do not remember.

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MHBC – SECURITY ENROLLMENT

Security Enrollment Steps

Please select your security enrolment question/answers and register your PC.

Register This Computer

- This is a personal computer. Remember it.
- This is a public computer. Do not remember.

- If you select radio button for “[This is a personal computer. Remember it](#)”, system will remember your enrolment information, and you will not be required to setup this again for your current PC.
- If you select radio button for “[This is a public computer. Do not remember](#)” please remember your enrolment questions / answers; you may need these in case if you are using a different PC to access MHBC application in future.
- You can also choose to hide your answers by checking the check box “[Hide my answers](#)”.
- Click the “Continue” button.



MHBC – USER LOGIN

User Login Steps

- Enter your User Id and Password,
- Click the “Continue” button

The screenshot shows the user login interface for the MHBC system. At the top, there is a header with the New York State Office of Mental Health logo and a navigation bar. Below the header is a "Statement of Access and Confidentiality" section with a warning message. The main login area contains a prompt to identify the user, followed by input fields for "User ID" (containing "istcxxx") and "Password or Passcode" (masked with dots). A "Continue" button is located below the input fields. A red oval highlights the input fields and the "Continue" button.

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Office of Mental Health

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Please identify by entering your user ID and password or passcode.

User ID:

Password or Passcode:

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MHBC – CONFIDENTIALITY ATTESTATION

Confidentiality Attestation Steps

- System will display the Security and Confidentiality Attestation Page, and user can see their name is associated with this attestation certification.
- To complete the attestation process, check the “Affirm All of the above” check box.

A screenshot of a web form titled "MHBC Office of Mental Health - Security and Confidentiality Attestation". The form contains several paragraphs of text and a checkbox. The text includes: "I certify that:", "My name is **MHBC User** and that,", "I will use the MHBC system for access to information which supports the administering of employment services to my respective clients,", "That I understand all data obtained from the system is confidential and privileged and may only be disclosed for the purpose of operating an integrated authorized employment activities system,", "I have successfully completed: HIPAA / HITECH training within the previous twelve-month period, and", "That the information in the MHBC system is being disclosed to me from confidential records and is protected by federal and state law. Federal and state law prohibits any further disclosure of this information without specific written consent of the person for whom it pertains, or as otherwise permitted by law. Any unauthorized further disclosure in violation of the law may result in a fine or jail sentence or both." At the bottom of the form, there is a checkbox labeled "Affirm All of the Above". A "Contact Us" link is visible in the top right corner of the form area.

MHBC Office of Mental Health - Security and Confidentiality Attestation

I certify that: [Contact Us](#)

My name is **MHBC User** and that,

I will use the MHBC system for access to information which supports the administering of employment services to my respective clients,

That I understand all data obtained from the system is confidential and privileged and may only be disclosed for the purpose of operating an integrated authorized employment activities system,

I have successfully completed: HIPAA / HITECH training within the previous twelve-month period, and

That the information in the MHBC system is being disclosed to me from confidential records and is protected by federal and state law. Federal and state law prohibits any further disclosure of this information without specific written consent of the person for whom it pertains, or as otherwise permitted by law. Any unauthorized further disclosure in violation of the law may result in a fine or jail sentence or both.

Affirm All of the Above

MHBC – CONFIDENTIALITY ATTESTATION

Confidentiality Attestation Steps (Continued.....)

- System will display the attestation day, date & time stamped on this screen and “Continue” button will be enabled now.
- Click the “Continue” button.
- MHBC Home Page will be open.

MHBC Office of Mental Health - Security and Confidentiality Attestation

I certify that: [Contact Us](#)

My name is **MHBC User** and that,

I will use the MHBC system for access to information which supports the administering of employment services to my respective clients,

That I understand all data obtained from the system is confidential and privileged and may only be disclosed for the purpose of operating an integrated authorized employment activities system,

I have successfully completed: HIPAA / HITECH training within the previous twelve-month period, and

That the information in the MHBC system is being disclosed to me from confidential records and is protected by federal and state law. Federal and state law prohibits any further disclosure of this information without specific written consent of the person for whom it pertains, or as otherwise permitted by law. Any unauthorized further disclosure in violation of the law may result in a fine or jail sentence or both.

Affirm All of the Above *Wed Apr 18 2012 15:55:04*



MHBC – HOME PAGE

User Welcome Screen

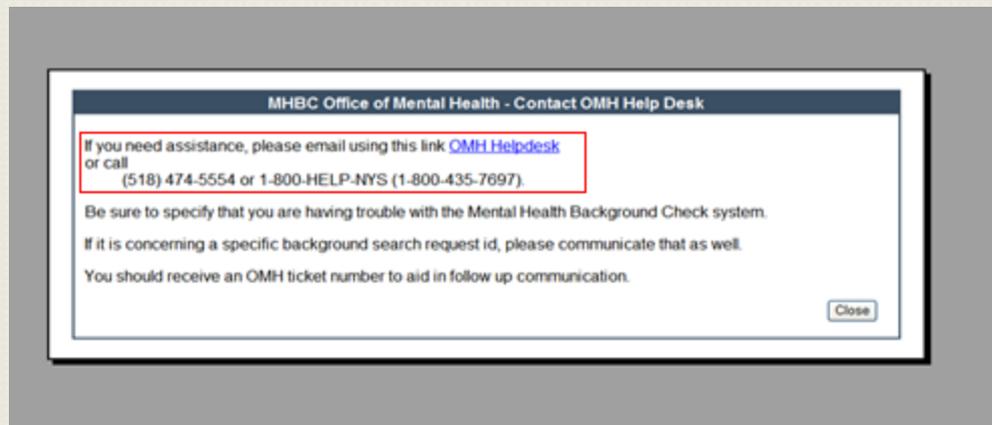
- You are in the MHBC Home Page.
- You have four different options available to choose for background checks:
 1. Pistol Permit,
 2. Rifle Permit,
 3. Explosive,
 4. Employment.
- Depending on role, you will have up to four background check reason options.

A screenshot of the Mental Health Background Check (MHBC) web application. The page title is 'Mental Health Background Check MHBC'. The navigation bar includes 'Home', 'Inquiry Request', 'Inquiry Results', 'Admin', 'Contact Us', and 'Log Out'. The main content area shows a 'Welcome' message and a user profile section with fields for 'Your Login', 'E-Mail', 'Phone', 'Street', 'City', 'State', 'Zip', 'Organization' (OMH Central Office), 'Additional Viewable Organizations' (Greater Binghamton Health Center, Buffalo Psychiatric Center), and 'App Version' (1.0.2.3). A red-bordered dialog box is overlaid on the page, titled 'Available Background Check Reasons'. It contains the text: 'Background check reasons are processed differently, please choose the appropriate one:'. Below this text are four radio button options: 'Pistol Permit' (selected), 'Rifle Permit', 'Explosives', and 'Employment Eligibility'. At the bottom of the dialog box, there is a button labeled 'Currently set to Pistol Permit'. The footer of the page reads '© 2012. New York State Office of Mental Health. All rights reserved.'

MHBC – HELP DESK SUPPORT

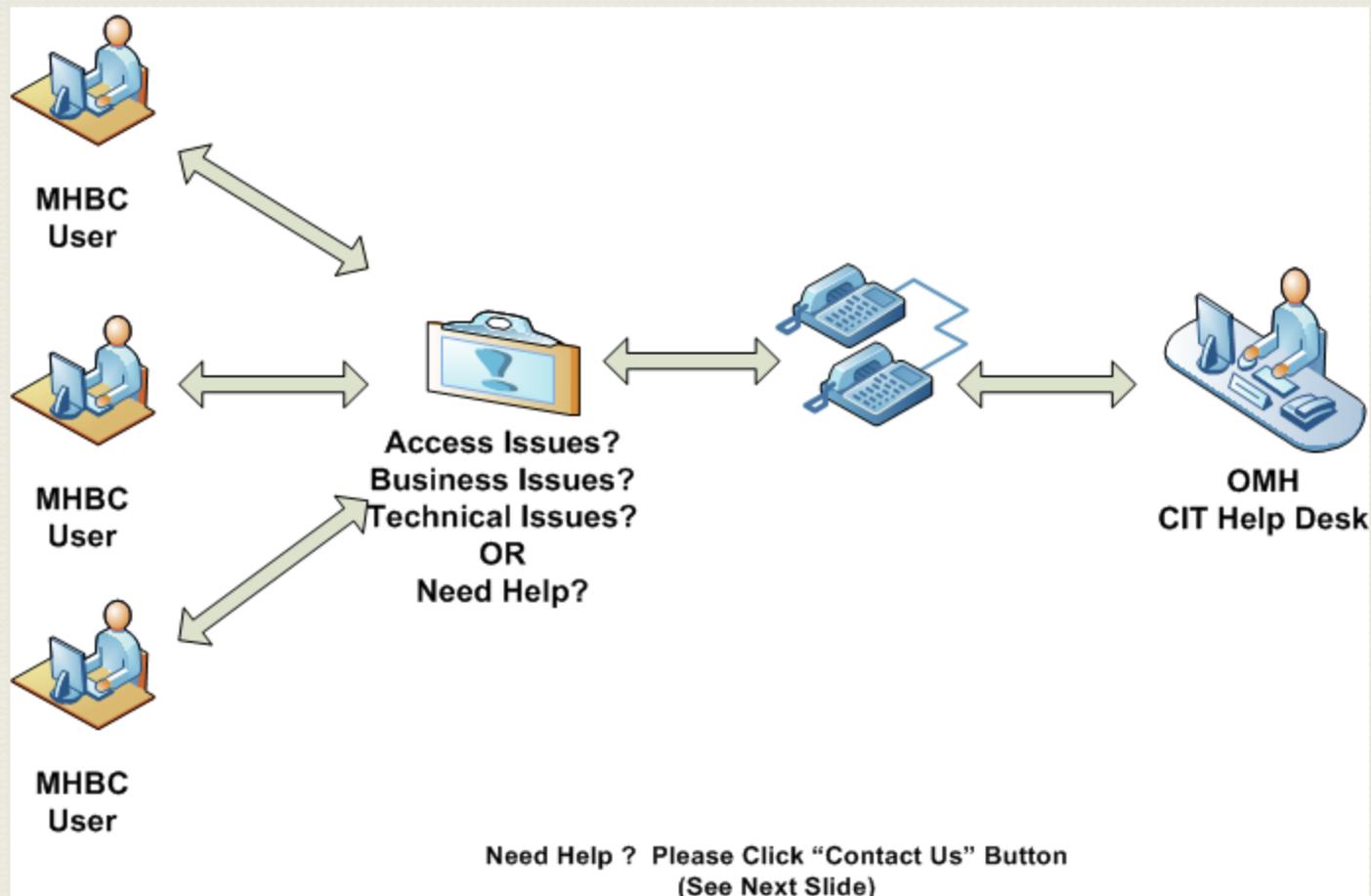
Contact Us Link

- If at any time user need any technical support or assistance, clicking on the “[Contact Us](#)” link will open a pop-up window.
- User can contact the OMH CIT Help Desk at (518) 474-5554 OR 1-800-435-7697



MHBC – HELP DESK SUPPORT

CIT Help Desk Support By Phone



MHBC – HELP DESK SUPPORT

CIT Help Desk Support By Mail Message

- User can also send “[Mail Message](#)” by clicking on the “[OMH Helpdesk](#)” link; complete the message form as shown below and clicking on the “[Send Mail](#)” button.

Mail Message

Please enter your name, e-mail address and message below, then press 'Send Mail'.

Your Name:

Your E-Mail:

Message:
Please note that although the message box does not change size the limit to the amount of content you can enter is 1000 characters. If the content is larger than the message box a scroll bar will appear (to the right of the box) so you can review all of your text before submitting.

↑

↓

MHBC – SESSION EXPIRY / LOGOUT

Session Expiry Message

- If a MHBC user remains inactive for thirty minutes, system will display a session expiry message and prompt the user to press the “Continue” button.
- User may need to re-enter their user-id / password.

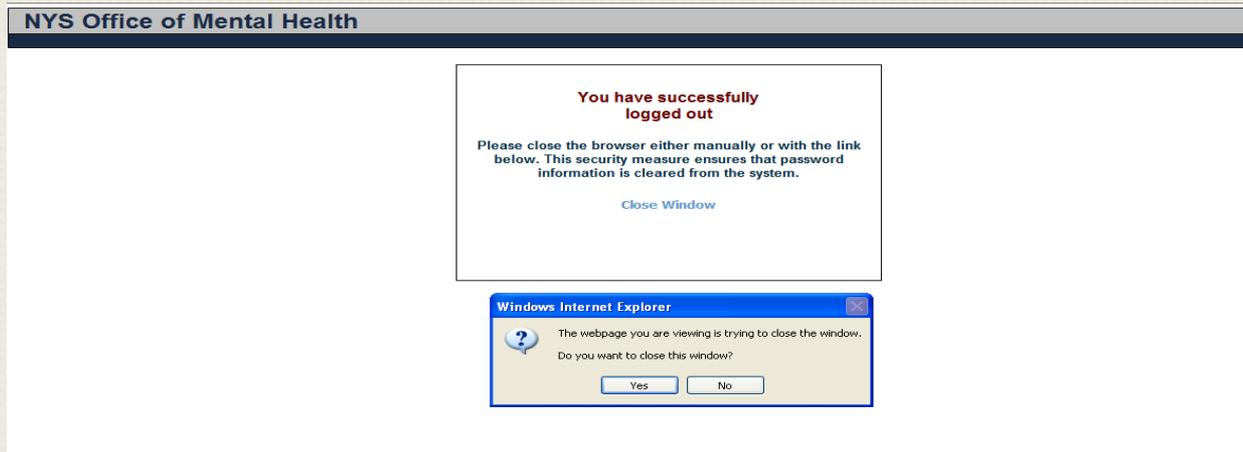
Mental Health Background Check [MHBC] - Session Expired

Your session has expired due to inactivity

Continue

User Log out Steps

- To end the current session and logout user will click on the “[Logout](#)” tab,
- System will end the current session and “Logged-Out Message” windows will pop-up.
- User can close the window and exit the application.



MHBC PISTOL PERMIT BACKGROUND CHECK



Session D (Duration 30 Minutes)



MHBC -PISTOL PERMIT

Current Background Check Process

- **Sheriff's offices, Police departments, and County court clerks receive paper applications for pistol or explosive permits.**
- **A search is required to determine if the applicant is currently an OMH patient or who has any time in the past been treated in any of OMH facilities.**
- **The applicant's information is submitted to OMH via a letter or fax to conduct an inquiry on the applicant.**
- **The applicant's information is currently matched against the DMHIS, using mainframe-based access, by a staff member at OMH central office.**
- **Based on the search results OMH returns a response back to the office staff in the form of a letter i.e. possible match letter or a no match letter.**



MHBC - PISTOL PERMIT

Automated Background Check Process

- **Will create an robust search function to conduct inquiries on the pistol permit applicants and return results in more timely manner.**
- **The new web enabled application will allow local authorities to enter applicant information for processing via a probabilistic matching algorithm, which will inquire to the OMH database and identify a Strong Match / Possible Match/ No Match to the data entered on the Inquiry screen.**
- **The user shall be able to view and print auto generated letters with individual applicants inquiry results, identifying a Strong Match, Possible Matches or No Match.**
- **The automated search application will expedite the process of returning these PDF letters within a 24 hour period.**



MHBC - PISTOL PERMIT

Inquiry Request Submission

- **User shall be able to submit an inquiry request for a mental health background check on applicants who have completed an application for a pistol permit.**
- **User shall be able to build an inquiry request and enter all the required data elements i.e. First Name, Last Name, Date of Birth, Gender and Social Security Number of a person to be searched.**
- **User shall be able to add Additional Aliases, Street Address, City, State and Zip code of a person to be searched.**
- **For every invalid input from the user, the system shall display a meaningful error message explaining the format input is expected.**
- **User can save, submit or clear the entered information.**
- **Please refer MHBC User Manual for step by step details.**



MHBC - PISTOL PERMIT

Select Reason for Background Check

To start your Inquiry Request Submission process, follow these steps:

- Select radio button for “Pistol Permit” on the MHBC home page.

A screenshot of a web form titled "Available Background Check Reasons". The text reads: "Background check reasons are processed differently, please choose the appropriate one:". There are four radio button options: "Pistol Permit" (which is selected and highlighted with a red box), "Rifle Permit", "Explosives", and "Employment Eligibility". At the bottom of the form, a dark blue button contains the text "Currently set to Pistol Permit".

- Click on the “Inquiry Request” control tab,
- System will open the Inquiry Request Submission Screen, (Slide 43)

A screenshot of a navigation bar with three tabs: "Home", "Inquiry Request" (which is highlighted with a red box), and "Inquiry Results".

MHBC - PISTOL PERMIT

Inquiry Request Submission Screen

- All ***Required fields*** are identified with an * after the field name.
- Enter Inquiry Request Data,
- System will validate all the entered data,
- Click the “Submit” button.

Submit Clear

Inquiry Details

Reason for Inquiry * ?

Person to Search Details

First Name * Middle Name/Initial Last Name *

[Expand/Collapse Additional Aliases Section](#)
This background check will automatically find variations on names: Jeff for Jeffery, Tom for Thomas, Peggy for Margaret. Only enter significant name changes here: aliases, maiden names, etc.

Date of Birth * Gender * SSN *

US Military Service - Allow Age 18

Address

City State ZipCode

* fields with asterisk are required

Submit

- Confirm your submission.

Submit To Office of Mental Health
for a background check?

Confirm Cancel

MHBC - PISTOL PERMIT

Inquiry Request Review & Analysis

- After submitting inquiry requests, user clicks on the “Inquiry Results” tab, system will display a new screen “Inquiry Request Review & Analysis Screen”

First Name	Middle Name	Last Name	Date of Birth	Date Submitted	Status	Reason For Check	Sanction Organization
John	K	Smith	01/01/1960	04/20/2012	Submitted	Pistol Permit	OMH Central Office
John	K			04/06/2012	Completed	Pistol Permit	OMH Central Office
William				04/04/2012	Completed	Pistol Permit	OMH Central Office
Theodore	C			04/04/2012	Completed	Pistol Permit	OMH Central Office
Edna				04/04/2012	Completed	Pistol Permit	OMH Central Office
Joseph				04/04/2012	Completed	Pistol Permit	OMH Central Office
John				04/04/2012	Completed	Pistol Permit	OMH Central Office
Scott				03/30/2012	Completed	Pistol Permit	OMH Central Office
Charles				03/30/2012	Completed	Pistol Permit	OMH Central Office
Linda				03/27/2012	Completed	Pistol Permit	OMH Central Office

Records: 1 to 10 of 25

Filter By:

Date Submitted: MM/DD/YYYY To MM/DD/YYYY

Last Name: -- Choose Last Name --

Search Request ID: -- Select a Request --

Reason for Background Check: -- Select a Reason --

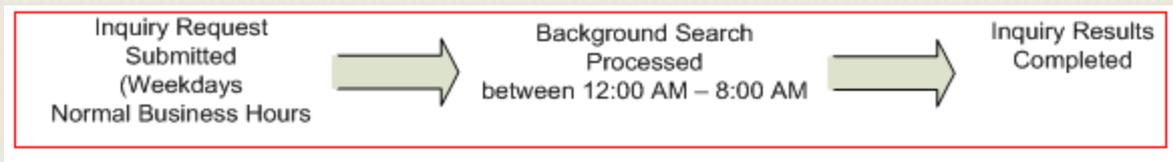
Status: -- Select a Status --

Apply Filters Clear Filters

MHBC - PISTOL PERMIT

Inquiry Request Review & Analysis Screen

- The user shall be able to review and see the status of all the inquiry requests submitted before; i.e., “Submitted” or “Completed”
- User can navigate through all the listed inquiry requests, can perform sorts on each column, to rearrange the rows in ascending or descending order
- User can apply filters to display selective rows in this screen.
- Once this inquiry request is successfully processed overnight by an Automated Batch Run, the status will be changed from “Submitted” to “Completed”.





MHBC - PISTOL PERMIT

Inquiry Request Edit & Resubmission Steps

- To see the details, user clicks on an inquiry request which has status as “Submitted”

John	K	Smith	01/01/1960	04/20/2012	Submitted	Pistol Permit	OMH Central Office
------	---	-------	------------	------------	-----------	---------------	--------------------

- System will pop up a new screen “Additional Details View” allowing users to review the complete details of a selected inquiry request. (Slide 47)
- If user need any changes to be made, will click the “Edit Request” button, system will open Edit & Resubmission Screen. (Slide 48)



MHBC - PISTOL PERMIT

Additional Details View Screen (For Edit)

Additional Details View (OMH PHI)

OMH Search Request ID: 81
Status: (Editable) Background Check Processing Not Yet Occurred
Date/Time Submitted: 04/20/2012 10:37 AM
Submitted by organization: OMH Central Office

Inquiry Details
Reason for Inquiry: Pistol Permit

Person to Search Details
Primary Name: John K Smith

[Additional Aliases](#)

Alias First Name	Alias Middle Name Or Initial	Alias Last Name
Jone		Smith
Jon	N	Smmeth

Records: 1 to 2 of 2

Date of Birth: January 01, 1960
Gender: Male
Social Security Number: 111-22-3333
Street Address: 1663 Central Avenue
City, State Zip: Albany, New York 12110

[Edit Request 81](#)

[Close](#)



MHBC - PISTOL PERMIT

Inquiry Request Edit & Resubmission Screen

- User can edit and resubmit the inquiry request by clicking on the “Resubmit” button.
- User can simply cancel any changes by clicking on the “Cancel Resubmit” button .

The screenshot shows a web application interface for editing and resubmitting an inquiry request. The page is titled "Details" and shows the inquiry type as "Pistol Permit". The search details include a first name of "John", a middle name/initial of "K", and a last name of "Smith". Below the search details, there is a table of aliases with columns for "Alias", "Alias Type", and "Action". The table contains two rows of aliases: "Smith" and "Smmeth", both with "Delete" actions. Below the table, there are fields for birth date (01/01/1980), gender (Male), SSN (111-22-3333), address (1663 Central Avenue, Albany, New York), and zip code (12110). At the bottom right, there are two buttons: "Resubmit Request 81" and "Cancel Resubmit", both of which are highlighted with a red border.

Alias	Alias Type	Action
Smith		Delete
Smmeth		Delete

MHBC - PISTOL PERMIT

Inquiry Results View

- To view the Inquiry Results, user clicks on an inquiry request which has status as “Completed”

New York State
omh
 Office of Mental Health

Mental Health Background Check [MHBC]

Home Inquiry Request **Inquiry Results** Submitter History [Contact Us](#)

ID	First Name	Middle Name	Last Name	Date of Birth	Date Submitted	Status	Reason For Check	Requesting Organization
82	Mike		Siths	01/01/1976	04/20/2012	Completed	Pistol Permit	OMH Central Office
81	John	N	Smithh	01/01/1960	04/20/2012	Completed	Pistol Permit	OMH Central Office

- System will pop up a new screen “Additional Details View” allowing users to view the details of this Inquiry Request.

Additional Details View (OMH PHI)

OMH Search Request ID: 81
 Status: Completed
 Date/Time Submitted: 04/20/2012 11:18 AM
 Submitted by organization: OMH Central Office

Inquiry Details
 Reason for Inquiry: Pistol Permit

Person to Search Details
 Primary Name: John N Smithh

[Additional Aliases](#)

Alias First Name	Alias Middle Name Or Initial	Alias Last Name
Jon	N	Smmeth
Jone		Smith

Records: 1 to 2 of 2

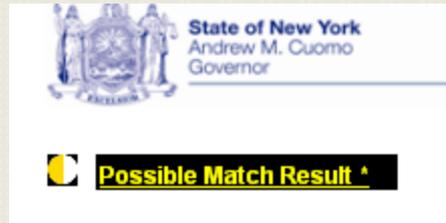
Date of Birth: January 01, 1960
 Gender: Male
 Social Security Number: 111-22-3333
 Street Address: 1663 Central Avenue
 City, State Zip: Albany, New York 12110

View Result 81 Close

MHBC - PISTOL PERMIT

Inquiry Results View (Continued...)

- User will click the “View Results” button.
- Based on a Probabilistic Matching & Search Process (Slide 51), system will generate the “Search Results” i.e.



- Results are color coded for better identification & readability.
- User have option to generate & print PDF letters for each type of search results.



MHBC - PISTOL PERMIT

Probabilistic Search & Matching Process

Scenario 1	If SSN & DOB are exactly Matched	OR	Name & SSN are exactly Matched	Strong Identification established	Strong Match Result. (Slide 52)
Scenario 2	Based on the given search criteria few probabilistic matches are found			Possible Identification is established	Possible Match Result. (Slide 53)
Scenario 3	Too many of Probabilistic Matches are Found			Will not be able to establish a possible Identification	No Results will be available and MHBC user will be requested to resubmit their Inquiry Request with additional search criteria. Excessive Matches Found (Slide 57)
Scenario 4	No Strong Match and No Possible Matches are Found			No Records are Available	No Match Detected Result. (Slide 56)

MHBC - PISTOL PERMIT

Sample Inquiry Result - "Strong Match Letter"

A strong match was found for request id 10

 Export to PDF

[Return To Inquiry Results](#)

1 of 1



State of New York
 Andrew M. Cuomo
 Governor



Office of Mental Health
 44 Holland Avenue
 Albany, New York 12229
 www.omh.ny.gov

*** CONFIDENTIAL ***

Strong Match Result *

Reason for Inquiry: Pistol Permit

Status As Of:

Mar 28, 2012

OMH Search Request ID: 10

Submitted By: - OMH Central Office

Details on Individual Searched

<u>Name</u>	<u>DOB</u>	<u>Gender</u>	<u>Last 4 SSN</u>	<u>Address</u>
.....	Nov 1			
	Nov 1			

A search of NYS Office of Mental Health computerized files using information above returned following.

<u>Treatment</u>	<u>Name</u>	<u>DOB</u>	<u>Facility</u>	<u>Case No</u>	<u>Adm. Dt.</u>	<u>Disch. Dt.</u>
Inpatient		NOV 2				

Facility Contact Information

<u>Facility</u>	<u>Street</u>	<u>City</u>	<u>State</u>	<u>Zip</u>	<u>Phone</u>
Pilgrim Psychiatric Center	998 Crooked Hill Road	West Brentwood	NY	11717	(631) 761-3500



MHBC - PISTOL PERMIT

Sample Inquiry Result - "Possible Match Letter"

possible match was found for request id 81 [Export to PDF](#) [Return To Inquiry Results](#)

1 of 1

State of New York
Andrew M. Cuomo
Governor

Office of Mental Health
44 Holland Avenue
Albany, New York 12229
www.omh.ny.gov

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Possible Match Result *

Reason for Inquiry: Pistol Permit **Status As Of:** Apr 20, 2012

OMH Search Request ID: 81

Submitted By: - OMH Central Office

Details on Individual Searched

Name	DOB	Gender	Last 4 SSN	Address
John N Smithh	Jan 01, 1960	Male	3333	1663 Central Avenue, Albany, NY 12110
Jone Smith	Jan 01, 1960	Male	3333	1663 Central Avenue, Albany, NY 12110
Jon N Smmeth	Jan 01, 1960	Male	3333	1663 Central Avenue, Albany, NY 12110

A search of NYS Office of Mental Health computerized files using information above returned following.

Treatment	Name	DOB	Facility	Case No	Adm. Dt.	Disch. Dt.
Inpatient	JOHN N SMITH	DEC	Manhattan Psychiatric Center 12

MHBC - PISTOL PERMIT

Export to PDF - “Possible Match Letter”

A possible match was found for request id 81

Export to PDF Return To Inquiry Results

1 of 1

State of New York
Andrew M. Cuomo
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Possible Match Result *

Reason for Inquiry: Pistol Permit

OMH Search Request ID: 81

Submitted By: Sapan Mukherji - OMH Central Office

Details on Individual Searched

Name	DOB	Gender	Last 4 SSN	Address
John N Smithh	Jan 01, 1960	Male	3333	1663 Central Avenue, Albany.

File Download

Do you want to open or save this file?

Name: MHBC81_PistolPermit_20120420.pdf
Type: Adobe Acrobat Document
From: mhbc.qa.omh.ny.gov

Open Save Cancel

While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. [What's the risk?](#)

- Select the “Export to PDF” and click on the “Open” button.
- System will generate a PDF document.
- You can print or save this letter.



MHBC - PISTOL PERMIT

Sample Inquiry Result - "No Match Detected"

o match was found for request id 82 Export to PDF Return To Inquiry Results

1 of 1



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Albany, New York 12229
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No Match Detected

Reason for Inquiry: Pistol Permit **Status As Of:** Apr 20, 2012

OMH Search Request ID: 82

Submitted By: - OMH Central Office

Details on Individual Searched

<u>Name</u>	<u>DOB</u>	<u>Gender</u>	<u>Last 4 SSN</u>	<u>Address</u>
Mike Siths	Jan 01, 1976	Male	3333	1345 Park Street, Latham, NY 12110

A search of NYS Office of Mental Health computerized files, in accordance with Mental Hygiene Law 33.13, has disclosed **NO RECORD** of a person by the name(s) above.
 We maintain files on all individuals served by the NYS OMH operated Psychiatric Centers. The files cover the period from April 1, 1965 to the present.

Our records **DO NOT** include services provided by Alcohol or Substance Abuse Treatment Centers, or facilities operated by the NYS Office for Persons with Developmental Disabilities (OPWDD).

***Note:** Confidentiality of patients' records is mandated by Section 33.13 of the Mental Hygiene Law. Any information disclosed by this agency upon receipt of a legitimate request shall be kept confidential by the*



MHBC - PISTOL PERMIT

“Excessive Matches Found” Result Screen

Excessive matches for request id 991

[Return To Inquiry Results](#)

Excessive Matches Found

Even though we do a best attempt to apply the provided information to match to public institution records, sometimes multiple patients match.

In this case there were excessive matching records.

Would you like to submit a new request adding in additional data?

Your data in this request will be pre-populated.

[Submit New Request Adding More Specifics](#)

MHBC EMPLOYMENT BACKGROUND CHECK



Session E (Duration 15 Minutes)



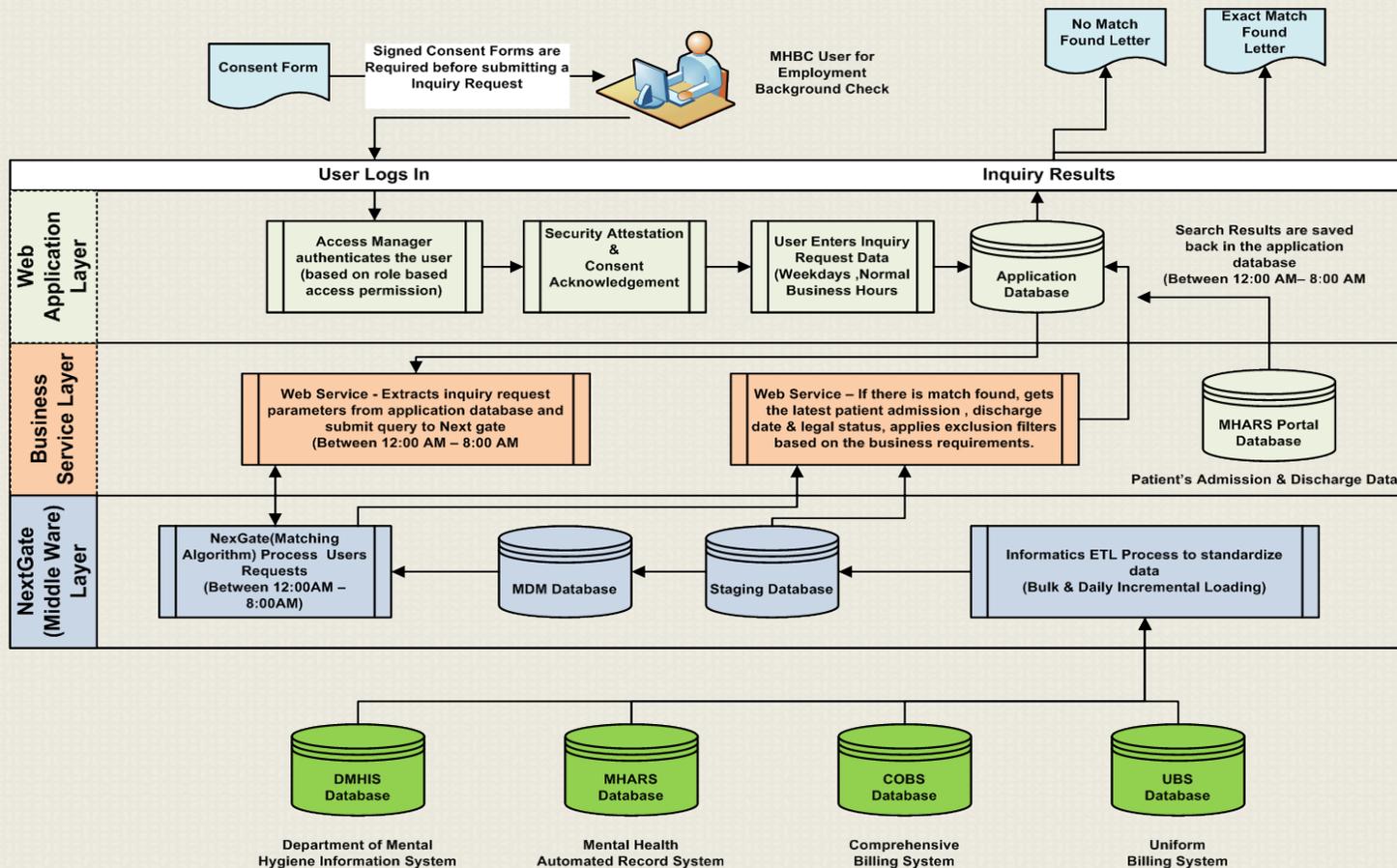
MHBC - EMPLOYMENT

Automated Business Process

- **Organizational Users i.e. Requestors can submit inquiry request for background check about applicants seeking employment in their organization.**
- **All requestors must insure that they already have obtained a signed consent document form the applicant and the same is available in the file.**
- **The blank PDF consent forms will be made available for downloading.**
- **This automated web application will allow users to enter applicant information for processing via a probabilistic matching algorithm, which will inquire to the OMH databases and identify an exact match, or no match to the data entered on the Inquiry screen.**
- **The application will return a result from the matching process with additional pertinent data to determine if the applicant is eligible for employment.**
- **The high level business process diagram (Slide 60) describes each component of this business process**

MHBC - EMPLOYMENT

Automated Workflow Process Diagram





MHBC - EMPLOYMENT

Inquiry Request Submission Screen

To start your Inquiry Request Submission for Employment background Check:

Select radio button for “Employment” on the MHBC home page.

A screenshot of a web form titled "Available Background Check Reasons". The form contains a heading, a paragraph of instructions, four radio button options, and a confirmation box. The "Employment Eligibility" option is selected and highlighted with a red border.

Available Background Check Reasons
Background check reasons are processed differently, please choose the appropriate one:

- Pistol Permit
- Rifle Permit
- Explosives
- Employment Eligibility

Currently set to Employment Eligibility

MHBC - EMPLOYMENT

Inquiry Request Submission Steps

Home Inquiry Request Inquiry Results

1. Click on the “Inquiry Request” control tab.
2. System will open the Inquiry Request Submission Screen. (Slide 63)
3. Check the “Affirm the Following” Check Box.
4. Select the appropriate date from drop down calendar.

Employment Check Requires Attestation

Affirm The Following.. *Fri May 11 2012 13:58:15*

I, _____, have in my possession the applicant's signed consent form giving permission to perform a mental health background check.

The date on the form

I WILL ARCHIVE THE _____ 7 YEARS.

May, 2012						
Su	Mo	Tu	We	Th	Fr	Sa
29	30	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2
3	4	5	6	7	8	9

Today: May 11, 2012



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Inquiry Request Submission Steps

1. All Required fields are identified with an * after the field name.
2. Enter Inquiry Request Data.
3. System will validate all the entered data.
4. Click the “Submit” button.

Inquiry Details

Reason for Inquiry *

Position Applying For *

Employment Check Requires Attestation

Affirm The Following... Fri May 11 2012 13:58:15

I, _____, have in my possession the applicant's signed consent form giving permission to perform mental health background check.

The date on the form

I WILL ARCHIVE THE CONSENT FORM FOR THE AUDITABLE 7 YEARS.

Person to Search Details

Legal First Name * Middle Name/Initial Last Name *

[Expand/Collapse Additional Aliases Section](#)
Enter significant name changes here: aliases, maiden names, etc.

Date of Birth * Gender * SSN *

Address

City State ZipCode

* fields with asterisk are required



MHBC - EMPLOYMENT

Inquiry Request Submission Status

Confirm your submission.

Submit To Office of Mental Health
for a background check?

Search Request ID	First Name	Middle Name	Last Name	Date of Birth	Date Submitted	Status	Reason For Check	Requesting Organization
3271	John		Smith	04/04/1962	05/11/2012	Submitted	Employment Eligibility	OMH Central Office
3251	Aaron	Frank	Evans	02/20/1955	04/20/2012	Completed	Employment Eligibility	OMH Central Office
3232	Test		Validation	02/02/1955	04/16/2012	Completed	Employment Eligibility	OMH Central Office
3231	Test		Validation	02/02/1955	04/16/2012	Completed	Employment Eligibility	OMH Central Office

Records: 1 to 4 of 4

Filter By:

Date Submitted: To

Last Name:

Search Request ID:

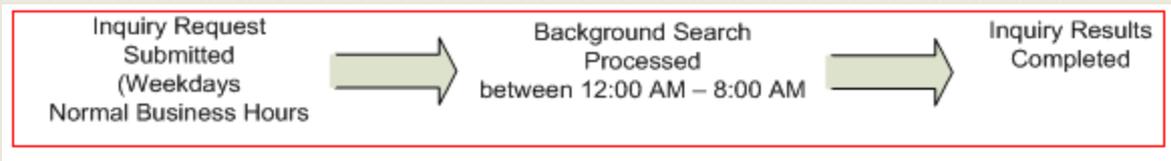
Reason For Background Check:

Status:

MHBC - EMPLOYMENT

Inquiry Request Review & Analysis

- The user shall be able to review and see the status of all the inquiry requests submitted before; i.e., “Submitted” or “Completed”
- User can navigate through all the listed inquiry requests, can perform sorts on each column, to rearrange the rows in ascending or descending order
- User can apply filters to display selective rows in this screen.
- Once this inquiry request is successfully processed overnight by an Automated Batch Run, the status will be changed from “Submitted” to “Completed”.





MHBC - EMPLOYMENT

Processing Steps & Business Rules

- **Processing steps for Inquiry Request Edit & Resubmission are exactly the same as in “Pistol Permit” (Slide 46)**
- **Processing steps for Inquiry Results View, are exactly the same as in “Pistol Permit” i.e.**
 - 1. System pops up “Additional Details Screen” displaying the selected inquiry requests details.**
 - 2. User clicks on the “View Results” button, system will navigate to another screen i.e. “View Results & Document Generation”**
 - 3. Formats for Results Documents i.e. Letters are almost same as specified for “Pistol Permit”**
 - 4. Strong identification & possible match letter shall show the details of individual found – Patient Type, Name, DOB, Facility, Case No, Admission Date, and Discharge Date.**
 - 5. Only Inpatient data shall be considered for Employment Inquiry Results**
 - 6. Child Facilities will not be searched for Employment Inquiry**

MHBC RECAP & NEXT STEPS



Session F (Duration 5 Minutes)



MHBC - RECAP & NEXT STEPS

Future Scenarios

- **A request has been made to automate the current manual process of MHBC and lookup with an objective to expedite the response back to end users.**
- **Application functionalities are based on the current business requirement , in subsequent releases more value added features will be incorporated.**
- **Initially the Pistol Permit background check application will be implemented as pilot project in three counties; Monroe, Erie, and Suffolk.**
- **Depending upon the valuable feedback and performance evaluation by the end users, system will be enhanced and deployed in the remaining New York state.**

Any Question Or Concern ??



