Patient Characteristics Survey (PCS) Manual

2019
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What is the Patient Characteristics Survey (PCS)?

The Patient Characteristics Survey (PCS), is the largest source of mental health consumer data in the State of New York. In it, OMH gathers data on all clients served in mental health programs during a one-week period. This year, the survey week is **October 21st through October 27th**. All facilities in New York that receive OMH funding or have OMH licensed programs and provide direct services to clients are required to participate in the PCS.

Each client who receives a service will need to be reported in **each** program that serves him. Almost 200,000 individuals are served during the survey week.

**Why do we need PCS?**

The data that OMH collects is used for a variety of purposes such as deciding how funding is spent, creating new programs and supporting existing ones. The Office of Mental Health uses the data to apply for federal funding through the Community Mental Health Block Grant, which in turn funds local facilities throughout the state. In 2018, the Block Grant brought approx. $28 million into the NYS Mental Health system!

Statewide data collected during the PCS is made available to providers through the public PCS Tableau Data Visualizations - [https://omh.ny.gov/omhweb/tableau/pcs.html](https://omh.ny.gov/omhweb/tableau/pcs.html)

**Important Definitions**

**Facility Survey**

The Facility Survey collects data about the **Providers** of public mental health services in New York. It is conducted in the Spring every other year using the Mental Health Provider Data Exchange (MHPD), the on-line database maintained by OMH where providers record information about their OMH-funded facilities, programs, and sites. The Facility Survey asks providers to update contact information for the facility, PCS Coordinator, Executive Director, and programs/sites.

**Patient Characteristics Survey**

The Patient Characteristics Survey (PCS) collects data on the **Consumers** of public mental health services. Data provided by facilities on their clients completes the picture of the NYS public mental health system.
PCS Coordinator

The PCS Coordinator is the person at your facility who is the liaison between your facility and OMH. Check with your PCS Coordinator if you have questions as to how to proceed in PCS or if you run into problems using the application. Your PCS Coordinator will contact OMH to resolve issues for you, and we will contact the PCS Coordinator if we need to get information to or from you.

Security Manager

Your Security Manager is the person at your facility who grants users access to OMH applications, edits users’ access, and removes access when a user leaves an agency. Contact your Security Manager if you change your phone number, email address, name, or job title, so that your Security Manager can update that information in our system. If you should happen to lose your password, your Security Manager can reset it.

Facility/Unit/Site

A facility, for our purposes, is your organization. You may have only one location, and only one program, or you may have a number of locations and have programs that cross many counties, but all of that is your “facility.” Each facility has one or more programs, and we refer to those as “units.” Sometimes units are further subdivided into sites. For example, your facility, Acme Hospital, might have two units, a clinic and an advocacy program. The clinic might have several locations, the Main Street Clinic and the Downtown Clinic. So, your facility would be Acme Hospital, the units would be the advocacy program and the clinic program, and the different sites of the clinic unit would be the Main Street Clinic and the Downtown Clinic.

PCS Roles

Submitter

Your Security Manager may assign users at your facility one of two security roles. The first is Submitter. A Submitter is a user who is charged with entering data for one or more Facility/Unit/Sites. The Security Manager may grant a Submitter access to ALL the units/sites or only one or two, depending on the needs of your facility. A Submitter is assigned access only to the specific units or sites the Submitter needs to access and cannot view or edit data for other unit/sites. A Submitter can also view and print quality reports in PCS for those same units/sites, but no others.
Supervisor

A Supervisor has all the rights that a Submitter has, but for the entire facility. The Supervisor can enter and edit data for any unit/site and view and print reports for all units/sites. A Supervisor can also download the entire facility’s data at any point to review and correct it or save the data at the end of the survey for the facility’s records. The Supervisor certifies that a unit/site has completed data entry by locking that site when finished reviewing the data. The Supervisor is required to enter the reason for no data for any units/sites that do not submit data. Supervisors can also upload data from files extracted from the facility’s own electronic data storage, if applicable. Each facility is required to have, at minimum, one Supervisor, as that person can (and in smaller facilities often does) complete the entire process of data reporting, review, and locking.

PCS Access

Questions or problems with the Patient Characteristics Survey (PCS) Web-Entry Application should be directed to your PCS Coordinator. Problems with access, user IDs, or passwords should be directed to your Security Manager.

System Requirements

PCS Web-Entry Application is designed to work using Internet Explorer (IE) or Google Chrome on a PC. At this time, PCS is not supported on a Mac, or in Firefox browser.

If a user is unable to get into the PCS application or nothing happens when the user clicks “Yes” in the verify contact information box, the user might be having a compatibility issue and should check compatibility view settings.

NOTE: Internet Explorer (IE) browsers prior to version 11 must enable compatibility mode to access the PCS application. Please refer to the “Enabling Compatibility Mode” section.
Enabling Compatibility Mode

In the IE toolbar at the top of the page, click tools, click compatibility view settings, add “ny.gov,” and click “Close.”
Pop-Up Blockers

Pop-Up Blockers must be turned off or uninstalled for the PCS Web-Entry Application to function properly. In Internet Explorer, pop-up blockers can be turned off by going to the Tools menu, scrolling down to “Pop-Up Blocker”, then selecting “Turn Off Pop-Up Blocker”. Other programs such as the Google toolbar and the Yahoo toolbar also use pop-up blockers, and these must be disabled as well.
JavaScript must be enabled.

For help turning off pop-up blockers or enabling JavaScript, please contact your IT department, or call the OMH Help Desk (800-435-7697) and select #2.
Disabling Pop-up Blockers in Chrome

1) Click the **Customized and control Google Chrome** menu (the three dots in the upper right corner)

2) **Select Settings**

3) Click **Advanced settings…** at the bottom.

4) Under **Privacy and security**, click the **Content Settings** button
5 Select Pop-ups. To disable the pop-up blocker, check “Do not allow any site to show pop-ups (recommended)” box.

Getting Access to PCS

The Security Manager grants access to PCS in the Security Management System (SMS). If the user does not have an OMH User ID or password, the Security Manager can generate one for him. Make sure that the Security Manager has the correct name, title, telephone number, and email address. After being registered, users will receive two emails, one with a User ID and the other with a password.

If the user already has an OMH User ID, make sure the Security Manager is informed of this. The Security Manager can grant PCS access using the same User ID. A token may be used to log into PCS, but is not required, rather the PCS can be accessed using a password.

**NOTE:** Users need to wait one hour after receiving the 2 emails before accessing PCS.

PCS Log-in Instructions

Go to: [https://www.omh.ny.gov/](https://www.omh.ny.gov/). This will bring you to the Office of Mental Health website. The OMH website has a link to Behavioral Health Providers.

Click on the Behavioral Health Providers link.
The resources on this page are listed alphabetically, so just scroll down to the **PCS Data Collection** link. Clicking on the “PCS Data Collection” link will bring up the 2019 Patient Characteristics Survey (PCS) Home Page.
There are many useful links found on this page. To sign into the PCS application, click on the “2019 PCS Application” under “The Data Entry Web Application” header.

The Patient Characteristics Survey (PCS)

What is the PCS?
The PCS is conducted every two years, and collects demographic, clinical, and service-related information for each person who receives a public mental health service during a specified one-week period.

Why is the PCS so important?
The PCS is the only Office of Mental Health data source that collects this type of client-level information from all public mental health service programs. Due to an exceptional level of cooperation and participation from service providers, the PCS is a reliable and invaluable resource for helping to manage New York State’s public mental health system, complying with federal reporting requirements, assisting local governments with the mental health services planning process, and informing the distribution of funding.

Survey Resources
Prepraring for the Survey

- 2019 PCS Calendar – Includes all of the important dates for 2019
- What's New for 2019 – Summarizes changes to the form and application
- Survey Training
  - WebEx Recording
  - Presentation Slides

The Data Entry Web Application

- 2019 PCS Application (User Identification and Password Required)

PCS Reference Materials

- 2019 Survey Form (for informational purposes only – not for data collection)
- 2019 PCS Guidelines – Covers general reporting instructions (PDF)
- 2019 Using the Electronic Data Upload Feature – Contains information on:
  - File Layout
  - Validations
  - Valid County Zip Code Combinations
  - Valid DSM-5 Codes Sorted by Label
  - Valid DSM-5 Codes Sorted by Code
  - Data Upload Notification Form
- 2018 Frequently Asked Questions (FAQS)

Other Resources

- Mental Health Provider Data Exchange (MHPD) web page – includes the MHPD Basic User Manual and Facility Survey Manual
- Security Management System (SMS) web page – Includes the SMS Reference Manual
- PCS Reports and Data Briefs web page – Access to the PCS public portal

Questions about the information on this page or issues with document accessibility can be directed to the PCS Team in the Surveillance and Surveys Unit.
Logging in Using a Password

In the User ID box, type your User ID assigned by OMH. Enter your password in the “Password or Passcode” box. The password will be displayed as a series of dots (●). Click the “Continue” button or press Enter on the keyboard to continue.
Logging in Using a Token

Hard Token

In the User ID box, type the User ID assigned by OMH. In the Password or Passcode box, enter the 4-digit personal PIN followed by the 6 to 8-digit number from the SecureID Token.

**NOTE:** The 6 to 8-digit number in the SecureID token will change every minute. A timer on the left side of the token counts down the seconds until the next number will appear. Before the token number changes, be sure to enter the displayed number and Login. Otherwise, it will be out of synchronization with the server and an error message will occur.
For a soft token, type your 4-digit pin in the box, and a number is displayed. Copy and paste this number into the password or passcode box shown above.

The numbers will be displayed as a series of dots (●) for both the PIN and Token number. Click the Login button or press Enter on the keyboard to continue.

Upon successful authentication, the user enters directly into the PCS Application and sees the PCS Home Page.
The PCS Home Page

The PCS Home Page is user-friendly and informative. It charts your facility’s progress in PCS. A count-down calendar displays the number of days you must complete and lock PCS.
The top bar graph shows a facility’s progress as compared to the last PCS reporting. The bottom bar graph displays the percent of Unit/Sites that are locked. When this bar for a facility reaches 100%, that facility has completed PCS.

The links with contact information for PCS Coordinator, Security Managers and PCS Users can be found under the Help Tab.

On the Home Page, submitters can find the name and contact information for the PCS Coordinator at their own facilities. Contacting the PCS Coordinator with questions may be the quickest way to solve problems for submitters. Also, any issues with access or password resets can be handled by your Security Manager, and that is listed in the drop-down listing as well.

On the PCS Home Page, there is a table with all the programs the facility is required to report on in PCS. This table lists basic information and is available to all PCS users. Submitters can view this general information but can only access submissions and reports for Unit/Sites for which they have access. If a Submitter only wants to view units/sites for which the Submitter has access, a filter at the top of the chart allows users to “Show Unit/Site(s) I Have Access to” or “Show All Unit/Site(s).”
Another feature that Submitters may find helpful is the column labeled “Number of Users.” Clicking on this column will bring up a list of all Submitters and Supervisors with access to entering data for that program. If a Submitter does not have access to a program, they must call the Security Manager at their facility to solve the problem. To locate a Unit/Site quickly, use the Search box. Enter a Unit/Site code or start typing the name of the Unit/Site name and the rows meeting your search criteria will display.

The following table is a list of all the Unit/Sites that are participating in the Patient Characteristics Survey. When each Unit/Site has finished data entry, a PCS Supervisor must go to the Supervisor Page and lock its data. This signifies to OMH that data entry for that site is complete. When a particular Unit/Site is locked, neither further data entry nor editing will be possible unless a PCS Supervisor subsequently unlocks it. When 100% of your Unit/Sites are locked, you have completed the PCS.

- Clicking on “Submissions 2019” for a particular row will bring you to the list of submissions for that Unit/Site. If “Submissions 2019” is not an active link, then you are a submitter who is not authorized to view data for this Unit/Site.
- Clicking on “Number of Users” for a particular row will display the names of users who have permission from their Security Manager to view and edit the data for that Unit/Site. If this column displays a zero, then there are no users authorized and no list will be shown.
- If you feel you need authorization for additional Unit/Sites, please contact your facility’s Security Manager to obtain it.

<table>
<thead>
<tr>
<th>Unit-Site Code</th>
<th>Unit Name</th>
<th>Site Name</th>
<th>Program Type Name</th>
<th>Submissions 2017</th>
<th>Submissions 2019</th>
<th>Unit/Site Locked?</th>
<th>Reason for No Data (RFND)</th>
<th>Number of Users</th>
</tr>
</thead>
<tbody>
<tr>
<td>001-1000</td>
<td>Transportation</td>
<td>Transportation</td>
<td>Home and Community Based Services (HCBS) Waiver</td>
<td>0</td>
<td>No</td>
<td></td>
<td></td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>Program</td>
<td>Program</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>010-1000</td>
<td>Recovery PROS</td>
<td>Recovery PROS</td>
<td>Comprehensive PROS with Clinical Treatment</td>
<td>0</td>
<td>No</td>
<td></td>
<td></td>
<td>9</td>
</tr>
<tr>
<td>456-1000</td>
<td>Test - Add a</td>
<td>Test - Add a</td>
<td>Supported/Single Room Occupancy (SOR)</td>
<td>0</td>
<td>No</td>
<td></td>
<td></td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>Program</td>
<td>Program</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Totals:</td>
<td></td>
<td></td>
<td></td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td>9</td>
</tr>
</tbody>
</table>

Showing 1 to 3 of 3 entries
The PCS Application’s Main Functions

Patient Characteristics Survey 2019 – Returns the user to the PCS Home Page
Submission – Contains three options:
- **Create New Submission**: starts a new submission
- **List of Submissions**: takes user directly to a list of all submissions for the facility
- **Unlock Submission**: only available to Supervisors, to unlock a submission inadvertently locked by another user

Supervisor – Contains two options available to Supervisors:
- **Supervisor Page**: for supervisors to lock a Unit/Site after data entry is completed, explain any units having no data to submit, and download the facility data once data entry is complete
- **Upload Data**: where electronic submitters can upload files directly into PCS

QA Reports – Used to monitor completion and accuracy of all surveys entered:
- **QA Report 1**: Percent of Valid Submissions by Unit/Site. Allows users to see how many submissions require corrections to make them valid.
- **QA Report 2**: Percent of Unknown Responses by Unit/Site. Compares your facility’s percent of unknown responses to those of all other sites of the same type in the State
- **QA Report 3**: Percent of Unknown Responses by Item. Allows Facilities to track what information they are not collecting in general
- **QA Report 4**: Number/Percent of Responses by Item for Uploaded Data. Is designed to facilitate the review of the upload of a data file to identify unexpected values

Help – Users can access information also found on our PCS Homepage
- **Using the Application**
- **Guidelines for Completing the Survey**
- **Data Collection Web Page**
- **Contact Us**
- **PCS Coordinator**
- **List of Security Managers**
- **List of PCS Users**

Log Off – Used to execute an orderly log-off from the PCS Application
Create a New Submission

Begin by selecting “Create New Submission” from the Submission menu.

This will bring up a blank “Enter/Edit Submission” screen so that a new submission can be started. On this screen, first select the Unit Name, then, if necessary, the Site Name.
If the Unit only has one Site, Site Name will auto populate. Next enter the Client’s First Name, Last Name, Date of Birth and Assigned Sex at Birth. The use of full names in PCS is required, which will assist us in coordinating data between PCS and other OMH reporting systems, as well as helping to eliminate duplicate submissions. All personal data is HIPAA protected and is stripped before any composite data leaves OMH.

**TIP:** Use Tab Key or Mouse to move from field to field. Fields written with asterisk “*” in the PCS application are to be completed by the user. E.g., The user must select Unit Name since it appears with asterisk “*”, but items 1. Unit Code and 2. Site Code do not have asterisk “*” because they auto-populate from the information entered in Unit Name and Site Name.

**Field Definitions/Descriptions**

**Facility Code** – A read-only field indicating the Facility Code of the Facility to which the PCS user has access. This field is automatically populated after login.

**Facility Name** – A read-only field indicating the name of the Facility that corresponds to the Facility Code. This field is automatically populated.

1. **Unit Code** – This field is automatically populated based on Unit/Site selected in Unit Name
2. **Site Code** – This field is automatically populated based on Unit/Site selected in Site Name

**Unit Name** – From the drop-down list, the user selects a Unit Name

**Site Name** – From the drop-down list, the user selects a Site Name. If the Unit has only one Site, Site Name auto-populates with that information

**Program Code** – This field is automatically populated based on Unit/Site selected in Unit and Site Names
Program Name – This field is automatically populated based on Unit/Site selected in Unit and Site Names

**NOTE:** This document describes how to use the PCS application. Guidance for answering each question on the survey is given in Guidelines for Completing the 2019 Patient Characteristics Survey found in the Help menu. Make sure to check the guidance document as you complete the survey.

**Next Button** – Proceeds to the next page of data entry for this survey

**PCS Home Button** – Returns to the PCS Homepage

When the user clicks on the Next Button, the system will alert the user if any field has not been properly completed. Once the fields have been populated, the user clicks the “Next” button to proceed to the next page of data entry fields for this current survey.

OMH refers to each combination of name, date-of-birth, and sex as a client. When the user selects Next, the client identifying data will be checked to make sure that the client has not already been entered for this Facility/Unit/Site (FUS). If a survey does already exist with this client-identifying combination for this FUS, then the PCS application will display the message “There are survey records with the same name, DOB, gender. Is this the same person?” below the “Next” button. Please interpret this as “same name, DOB and sex.” The user may need to scroll down the page to see this. The existing sheet number/s with the same client identifiers will be displayed (functioning as a search feature). If this may be the same person, select a sheet number to view and edit the existing survey. If it is certain that this survey is not a duplicate, then the user can press the “Create New Submission” button to continue entering the rest of the survey information for this new client.
After the user clicks “Next” and there are no duplicates or “Create New Submission” after a duplicate check, the rest of the survey questions become available.

**TIP:** Questions with round checkboxes are “select one” answer. Questions with square checkboxes are “select all that apply.”

When the user clicks the “Save” button at the bottom of the survey, not only will the information be saved in the PCS application, but it will be evaluated for quality.

**NOTE:** If your Facility is closed on October 21st and 22nd for the Jewish Holiday, please report clients served on October 28th and 29th in the Patient Characteristics Survey. For clients served on October 28th and/or 29th, select October 21st and/or October 22nd for dates of service; where appropriate.
Questionable data will be flagged and divided into two groups displayed at the bottom of the survey form for the user to review. Issues in red font are invalid responses while issues in yellow background are peculiar responses.

An invalid or problematic item is one that must be corrected for your survey to be valid. If a submission says that a six-year-old had prior military service, it would be problematic and ask the submitter either correct the client’s age or the veteran status.

If the survey contains any invalid responses then the survey status will be “Invalid”; otherwise, the survey status will be “Valid.” Any survey whose status is “Invalid” must be edited either immediately or later to remedy the issues listed in red font. After saving, the survey form will remain displayed in View mode, but data cannot be changed in View mode; the survey can only be read.

Peculiarities are answers that may be correct but fall outside of normal ranges. For instance, a 93-year-old client has a Kindergarten education. It would be unusual, but not impossible, and ask that you go back and review that answer, correcting if necessary.

To correct issues immediately, select “Edit” to enter the Edit mode where corrections can be made. In Edit mode, each item having an issue will be noted with a red asterisk (*). Correct any issues, and then scroll to the bottom of the screen and select “Save.”

Alternatively, the user can choose not to correct issues immediately, and may continue entering data for other clients by pressing “Create New Submission” or can return to the PCS home page by pressing PCS Home. The survey with issues will still be saved, and can be viewed later (again, with issues listed) and necessary edits can be made at that time.
Create New Submission when a Program’s data is imported from CAIRS or MHARS

The CAIRS (Child and Adult Integrated Reporting System) and MHARS (Mental Health Automated Record System) systems contain much of the information collected in the Patient Characteristics Survey. Programs required to report in CAIRS or MHARS will have their data imported to the PCS application.

When the PCS user creates a new submission and selects a Unit/Site name that currently reports data to either system, click the dropdown arrow that contains the respective client roster.

![Image](image.png)

The client roster will list all persons entered into the CAIRS or MHARS system who were not discharged prior to the PCS Survey week. As new clients are added to the CAIRS or MHARS system, they will automatically appear in the PCS roster of clients.

If the client you are looking for is not on the list, it may indicate that the client is not listed in CAIRS or MHARS. If the client should be, you should go back to those systems and report on those clients. When you re-open the PCS application, the clients name will be displayed. What you can do, however, is add the client directly into PCS at this time without returning to CAIRS or MHARS. Above the list of clients is a button which will give you the option to enter data for a different client. After selecting this option, continue entering the client’s information as you did when completing a new survey manually.
NOTE: This information will NOT transfer back to CAIRS or MHARS; you must go back as soon as you can and add the client there.

When the user pulls down the Client: Make your Selection list, the roster displaying client Name, Date-of-Birth, and Gender, followed by the CAIRS or MHARS ID appears. If a PCS form has already been started (or completed) for the client, the PCS Sheet Number will also be displayed. When a client from this roster is selected, the PCS fields for Client’s Name, Date-of-Birth, and Gender will automatically populate and the user simply clicks Next to continue to the remainder of the PCS form. A sheet number indicates that a PCS submission already exists for this client in PCS. Choosing this client again and clicking next will bring up the duplicate submission dialog.

NOTE: Using this filter box, enter the unit, and then, if necessary, the site you are looking for. Click “Apply Filter.”
The user is asked to review all CAIRS or MHARS imported items and provide current values if they are out-of-date. For example, if a person was unemployed when admitted to a program three months ago, but is now competitively employed, the user must change the employment item in PCS accordingly. Changes made to the PCS record will not be reflected in CAIRS or MHARS.

For data integrity, there are some items extracted from CAIRS or MHARS that the user will not be allowed to edit in the PCS. For these items, the PCS user must return to CAIRS or MHARS in order to edit them, if necessary.

The items are:
Client’s First and Last Name
Date of birth
Gender

Additionally, when importing from CAIRS, the following items may only be edited in CAIRS:
Hispanic Ethnicity
Race
Admission Date, Current Episode

If one of these items needs editing, the user must:
(a) close out of this form, then
(b) log into the CAIRS (MHARS) System and retrieve the respective record, then
(c) make the necessary edits while in that system, then
(d) re-open this data-entry page in PCS to see your edited responses. Other populated items from CAIRS (MHARS) may be edited directly in the web application.

From the client roster, the CAIRS or MHARS ID can be used to locate the client in CAIRS or MHARS should changes be needed to any CAIRS or MHARS information.

Data for State-operated Unit/Sites reporting in MHARS are imported to the PCS application unless the Unit/Site was already included in the CAIRS import. If a State-operated program wishes to change the data source for the import, for example, to import from MHARS instead of CAIRS, please contact the PCS Unit (pcs@omh.ny.gov).
List of Submissions

The List of Submissions can be accessed from the menu under Submission or from the PCS Home Page or from various reports. If accessed from a report or from the Home Page, the list will be filtered for the Unit/Site selected, but if accessed from the Submissions menu, users will have the option of viewing all submissions for the entire facility or filtering the list for a Unit/Site. With larger facilities, it is recommended that users make use of this filter, as longer lists take longer to sort, and may result in the program timing out.

<table>
<thead>
<tr>
<th>Unit/Site Code</th>
<th>Unit Name</th>
<th>Site Name</th>
<th>Sheet Num.</th>
<th>Client's First Name</th>
<th>Client's Last Name</th>
<th>Valid?</th>
<th>Number Problematic</th>
<th>Number Unknown</th>
<th>View</th>
<th>Edit</th>
<th>Delete</th>
<th>Create</th>
<th>Update</th>
<th>Name</th>
<th>Date Last Saved</th>
</tr>
</thead>
<tbody>
<tr>
<td>000-1000</td>
<td>Transportation Program</td>
<td>Transportation Program</td>
<td>1018</td>
<td>Joe</td>
<td>Unknown</td>
<td>Y</td>
<td>2</td>
<td>3</td>
<td>View</td>
<td>Copy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2019/10/31</td>
</tr>
<tr>
<td>100-1000</td>
<td>Test - Add a Program</td>
<td>Test - Add a Program</td>
<td>1019</td>
<td>Jane</td>
<td>Doe</td>
<td>N</td>
<td>99</td>
<td>0</td>
<td>View</td>
<td>Copy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2019/10/31</td>
</tr>
<tr>
<td>400-1000</td>
<td>Test - Add a Program</td>
<td>Test - Add a Program</td>
<td>1014</td>
<td>Jane</td>
<td>Unknown</td>
<td>N</td>
<td>77</td>
<td>28</td>
<td>View</td>
<td>Copy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2019/10/31</td>
</tr>
</tbody>
</table>

Totals:
Number of submissions: 3
Number of submissions valid: 3

* A Problematic item is either:
  a. A response that conflicts with another response, such as "Date of Admission" preceding "Date of Birth," or
  b. An item that remains unanswered (i.e., a "missing" response.)

** Filter Notes:
  a. If you do not see a particular Unit/Site in the list, then you are a submitter who does not have access to that site. If you feel you need access to the site then please return to the Home Page to find your Security Manager who can grant you that access.
  b. Choosing "all sites" may result in a slower response time which could be substantial for sorting the submissions.
  c. If you opened this page using a link on another page in the PCS application, list of submissions for the selected link will be displayed. Filter box will not be displayed in this case.

Print All Submissions with Sheet Numbers

From: 

To:

Print
To View, Edit, Delete, or Copy a submission, select from the appropriate column in the row of the selected sheet.

View opens the submission in view mode for review, but no editing.

Edit allows the user to make changes to the submission, then hit save to submit those changes.

Delete allows a user to remove a submission completely, and Copy lets the user copy a submission into a second FUS without removing it from the first.

NOTE: If the Edit and Delete tabs are missing, the Unit/Site has been locked on the Supervisor page and is unavailable for editing. Submissions in a locked FUS can be viewed or copied, but not changed. Contact a PCS Supervisor to unlock the FUS if edits are required.
Editing a Submission

Once the desired survey is selected in the List of Submissions, clicking Edit takes the user to the Edit screen for that submission.

Clicking the “Back to List of Submissions” link will take the user back to the sorted list from which this survey was selected.
Deleting a Submission

Selecting “Delete” in the row of a sheet to delete will bring up a warning box.

If it is certain that the sheet should be deleted, click “OK” to delete, otherwise click “Cancel,” and return to the List of Submissions to select a different sheet. Once deleted, a sheet cannot be retrieved.
Copying a Submission from one Unit/Site to Another

The “Copy Submission” box appears directly under the List of Submissions when a user clicks “Copy.” Listed is the name of the client and Unit/Site as well as the sheet number of the original submission. The user selects a Unit and Site from the drop-down menus to copy the submission to, and then clicks “Copy Submission.”

### Copy Submission

- **Sheet Number:**
  - 105

- **Client Name:**
  - Jane Doe

- **FROM:**
  - Unit Name:
    - Test - Add a Program
  - Site Name:
    - Test - Add a Program

- **TO***:
  - Unit Name:
    - Test - Add a Program
  - Site Name:
    - Test - Add a Program

**Copy Submission**  **Cancel Copying**

Once you have copied a submission, you will be returned to the List of Submissions.

**Please note that**

1. copying a submission does not delete it from the originating Unit/Site.
2. copied submissions do not include diagnosis codes, dates of service, admission dates, or the dates last served before the survey week. After copying, you must edit the new submission to complete these few items.

*** If you do not see a particular Unit/Site in this list, then either:

A. You are a submitter that does not have access to that Unit/Site, OR
B. The Unit/Site is locked and must be unlocked by a Supervisor before further submissions may be entered.

**NOTE:** If the Unit/Site required does not appear in the drop-downs, then either the user is a Submitter without access to that FUS, or the Unit/Site has been locked on the Supervisor page and is unavailable for editing. Contact a Security Manager to get access to different Unit/Sites, or a PCS Supervisor to unlock the FUS if edits are required.

If a client with the same Client Identifiers (Name, Date of Birth and Gender) already exists in the new FUS, a duplicate submission dialogue appears, asking if the user wishes to view the duplicate record or continue with the copy. If the user is certain that this is not a duplicate, click “Continue with Copy” to create the new submission in the new FUS. The user will be returned to the List of Submissions, and a green message will appear at the bottom of the List of Submissions informing the user of the Sheet Number for the newly created submission.
Some items, such as Dates of Service and Diagnosis, do not copy. When the submission is copied to the new FUS, those items are stripped, as they are specific to each program. The user must go to the new submission and edit it to make it valid. Copying a submission does not remove it from the old FUS. To do so, the user must locate the old submission on the List of Submissions and Delete it.

Print Range of Surveys

To print one or more surveys, enter the sheet number or range of numbers in the boxes at the bottom of the List of Submission page. Click “Print” to print out those sheets.

NOTE: When printing submissions, fields will be expanded to show the full response set, not just the selected response.

Supervisor Functions

Supervisor Page

The purpose of the Supervisor Page is to monitor completion of the PCS. It maintains a list of all Unit/Sites that are required to enter survey data and allows the Supervisor to Lock each individual Unit/Site as data entry is completed. The page also has a Progress Bar, the same as on the PCS Home Page, that tracks percent of Unit/Sites that have been locked. Once all Unit/Sites are locked, the Progress Bar will read 100% and PCS is complete.
Locking a Unit Site

The Supervisor page is a list of Unit/Sites, the number and validity of submissions for each Site, and its status. If any submissions in a FUS are invalid, the number and the cell in the “Submissions 2019” column will appear in red font. Hovering over that number will display a pop-up that tells how many surveys are still invalid for that Unit/Site. A Unit/Site with invalid submissions cannot be locked.
If data entry is completed for a Unit/Site and the submissions contain no invalid data, the Supervisor should Lock the Unit/Site. Selecting a row with all its submissions valid, such as the Advocacy/Support Services program below, brings up a box below the list that allows the Supervisor to choose “Yes, Lock” that Unit/Site.

Once a Unit/Site is locked, no further data entry or editing can be done. If further editing is required, the Supervisor can reverse the process by selecting the row of that Unit/Site, and in the box below clicking the “Yes, Unlock” button to unlock the Unit/Site and allow editing. When finished, the Supervisor must be sure to lock the FUS again.
Unlocking a locked Submission

When a user does not Save a submission after editing or log off by using the Log Off menu item, the submission is locked, and others cannot edit it. To correct this problem, the Supervisor may unlock the record by selecting “Unlock Submission” from the Submission menu.

To unlock a submission, the Supervisor simply selects the locked submission from the list to unlock it, at which point any user with access to that record can edit it.

To prevent locking records, users should press the Save button whenever exiting a record after editing, and Log Off using the menu option whenever leaving PCS.
Reason for No Data

When a Unit/Site submits no data, a Supervisor must provide a reason why this is so. On the Supervisor page, selecting a row for a Unit/Site that has not submitted any data brings up a different dialogue box, “Reason for No Data.”

There are three reasons available for not supplying data in PCS.

**Unit/Site is closed:**

This reason indicates that the Unit/Site was closed prior to 10/21/19. If this answer is selected, the facility must also submit a change request in the Mental Health Provider Data Exchange (MHPD) to close the program. Contact mhpd@omh.ny.gov for more information.

**Unit/Site served no clients during the survey week**

This reason may be used if no clients were seen by the Unit/Site during the week of 10/21/19 through 10/27/19. This selection is not appropriate for clients in certain programs (residential and inpatient programs) where the client is in residence, even if the client was not actually seen during the week. For residential and inpatient programs, a client is served every day of the week so long as they have been admitted and not discharged.

Once one of these two answers have been selected, clicking Save will lock the Unit/Site, and submit that answer to OMH.
Other Reason for No Data – Requested:

Choosing this reason does not automatically Lock the Unit/Site as did the first two reasons. A Supervisor with another reason for not submitting data must submit a request to OMH for exemption. To submit the request, select “Other Reason for No Data – Requested” and a Comment Box pops up with instructions to provide a specific description of the service(s) provided by the Unit/Site detailing the information that is collected from clients and the reason that data cannot be submitted for the PCS. After filling out the Comment Box and pressing “Save,” the request will be sent to OMH for processing.

OMH will review the request in a timely fashion, and, if accepted, “Other Reason for No Data – Approved” will appear in the “Reason for No Data” column, and Unit/Site Locked? will read “Yes.” At this point, the facility’s responsibility for data reporting for that Unit is done.
If the reason provided is not enough, the facility may be contacted for more information, and OMH may deny the reason. In which case, “Other Reason for No Data – Denied” will appear in the “Reason for No Data” column, the FUS will be unlocked permitting data entry, and the facility will be responsible for entering data into that Unit/Site. In either case, an email will be sent to the Supervisor who requested the RFND informing her of OMH’s decision.

If the Other Reason has been entered inadvertently, clicking “Remove Reason” clears out the given reason for no data, including “Other Reason – Denied,” and returns the Unit/Site to the unlocked condition, to allow data entry.

NOTE: Users will be able to access the feedback survey from the Supervisor’s page.
Download Facility Data

At any point after data entry has begun, Supervisors will have the option of downloading the entire facility’s data into a single Excel spread sheet. A box will appear at the bottom of the Supervisor Page with the option to download data.

If the facility has any invalid submissions in its data, a note will indicate it. The last column of data in the spread sheet will indicate whether the row (submission) is valid or invalid. Supervisors may find this useful for tracking down and correcting invalid submissions. Note that the default file name shows the date and time of the data download.

Uploading Data

Larger facilities that store their own records electronically may find that it saves them time to extract data from those records and upload it into PCS. The facility must be able to manipulate its data to conform to OMH standards, a process that may take some time and programming ability. Uploading is not recommended for smaller facilities with only a few records but may be quite useful for facilities with hundreds of records to enter.
A Supervisor can upload data by choosing Upload Data from the Supervisor menu. When the Data Upload screen appears, the Supervisor chooses one or more Unit/Sites to upload to by clicking the boxes in the far-right column. A greyed-out box means that the Unit/Site is locked and must be unlocked on the Supervisor Page before any data can be uploaded.

Clicking “Next” brings up a box where the Supervisor selects the file to be uploaded.

Uploads must be text files, with a .txt extension.

The Supervisor uses the Browse button to select the text file from her own computer, and then clicks “Upload Now” to upload the file. If there are errors in Client Name, Date of Birth or Gender, if the file length is not correct, or if the wrong Unit/Sites have been selected, the file will be rejected. Otherwise, all uploads will be accepted, but out of range answers will be eliminated, leaving those answers as Missing. A user must go into the uploaded submissions and correct any mistakes or missing data. See the PCS Homepage for further documentation on the upload process.

If data has already been uploaded, any subsequent upload will delete previously uploaded data. In this instance, a warning box will appear after the user clicks “Next.” Select “Yes” to continue, “No” to abort.

NOTE: Uploading data a second time to a Unit/Site will wipe out any data previously uploaded to that Site, even if the uploaded data has been edited in PCS. Data directly entered that same Site will not be affected. It will not delete submissions imported from CAIRS. However, it is not possible to upload a submission for a given client and then to import from CAIRS specific fields for that client.
Quality Assurance Reports

There are four Quality Assurance Reports to help monitor completion and accuracy of reported data. These can be accessed through the QA Report menu.

**Report #1  Prevalence of Valid Submissions by Unit/Site**

The Prevalence of Valid Submissions report lists all the Unit-Sites required to report PCS data from the facility. For each FUS, it tallies the number of submissions overall, and then separates this total into two groups: Invalid submissions and Valid submissions. An Invalid submission is any submission that has either a “missing item” or a “problematic item”. These missing/problematic items must be remedied by the end of the survey submission period. A Valid submission is one with no missing/problematic items. This report should be used principally to monitor survey completion, since all submissions must be made valid by the end of the survey submission period.

**Report #2  Percent of Unknown Responses by Unit/Site**

This report tallies the number of unknown items, by FUS. Rather than monitor completion (like report #1), this report shows the quantity of usable data each FUS has provided to OMH. Any responses left as “unknown” fail to provide any usable data. To provide data that is usable the FUS should have a low percentage of items answered as unknown. This report rates each FUS using a scale of 1 (worst) to 5 (best) in its usage of unknown/missing. This is accomplished by comparing the percent of unknown responses for each FUS at this facility to all other FUS of similar program type in the state. For those who are mathematically curious, the 5 ratings issued by OMH are the 5 quintiles of unusable data provided for each program type, based on previous (year 2017) PCS submissions.
Report #3  Percent of Unknown Responses by Item

Like Report #2 this report tallies the amount of unusable data, but it does so by item number rather than by FUS. It is used to show areas where an entire facility has excelled or lagged in responding to individual items.

Report #4  Number/Percent of Responses by Item for Uploaded Data

This report checks the Number/Percent of Responses by Item for Uploaded Data. You may find this facility-level report useful for different purposes, but it is designed primarily to facilitate the review of the upload of a data file to identify unexpected values. For example, 100% of persons served are older than 100 years.

Help Menu

The Help menu provides methods of assistance to completing the survey, “The PCS User Manual” (this document), “Guidelines for Completing the Survey” and “Contact Us”. Most questions will be answered in the two documents, and the “Contact Us” option brings up a screen where questions can be forwarded directly to OMH. Also, for easier access, we have moved the “PCS Coordinator,” “List of Security Managers,” and “List of PCS Users” to the “Help” tab.
User Satisfaction Survey

After you are 100% Locked, you will find a link to the User Satisfaction Survey both on the Supervisor page and on the PCS Application Web page. Please fill out the survey to let us know how things worked for you. We take this information into account each time we do PCS, so that we can make the application work better and make data entry easier for you. Please ask that all PCS users at your facility to take the survey as well. You can either click on the link and forward that Web address to them or ask them to pop back into PCS and click the link on the home page for themselves. Either way, your comments can only help to make improvements! Note that the User Satisfaction Survey will not be available during the practice platform but will be when we reach the Survey week.

Log Off

This menu item allows for a safe, orderly exit from the PCS Web Application. Once logged off, the user should close the browser window. After a period of inactivity, the system may time out, bringing the user back to the log in screen. If so, the best course of action is to close the browser, reopen it, and log back in.