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Local Commissioners Memorandum

Section 1

Transmittal:	14-LCM-02
To:	Local District Commissioners
Issuing Division/Office:	Audit and Quality Improvement Office of Legal Affairs
Date:	March 4, 2014
Subject:	WMS Audit Tool
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Attachments:	How to Access and Use the WMS Audit Tool
Attachment Available On – Line:	N/A

Section 2

I. Purpose

The purpose of this Memorandum is to provide local social service districts (SSD) information with regard to how to use the new WMS Audit tool, how to provision, recertify and terminate users' access, and what to do in the event the report Cognos generates is either insufficient or the tool is unavailable for use because of technical difficulties.

II. Background

Prior to the district-wide implementation of the WMS Audit tool, a SSD was required to contact the Office of Temporary and Disability Assistance's (OTDA) delegated responder in the Office for Information Technology (ITS) to generate investigative reports run against the Welfare Management System (WMS). With the implementation of the new WMS Audit tool, a SSD

will be able to generate an automated investigation report without ITS or OTDA intervention in most instances. Where the report generated by the new tool does not meet the user's needs, and a more granular or complex report is required, or a report against a different database is required, a SSD may direct its request, via an authorized requestor, to the listed OTDA Audit and Quality Improvement (A&QI) email address. A&QI will then work with our ITS colleagues and OTDA program managers, where necessary, to generate and transmit the necessary report to the SSD.

III. Program Implications

A. Use of Cognos

A SSD is urged to utilize the new tool in its investigative endeavors and to make use of the new procedure of requesting reports from alternative databases and/or more granular/specific reports.

B. Provisioning and Recertifying Users

1. Provisioning Procedure

In order to access the new WMS Audit tool, users must undergo the following provisioning procedures: Cognos Security Contacts must authorize named users to have access to the reporting projects and the data supporting those projects within the Cognos Reporting Application. Security Contacts for Social Service Districts are the Local Commissioner or his/her designee. Some Commissioners have retained this authority, while others have appointed multiple Security Contacts. Cognos User Administrators must submit a request for new user access, or changes to existing user's data access, through the appointed Security Contact(s) in his/her SSD.

In order to provision users or reflect a change in business need for users' access in instances including but not limited to, a change of job duties, retirement, or termination of employment, the appointed Cognos Security Contact for the SSD must submit a completed User Request and Change Form. This form may be accessed electronically via [Cognos Report User Request and Change Form](#). The completed User Request and Change Form must be submitted to the Cognos Shared Mailbox at **Cognos.Reporting@otda.ny.gov**. Users are required to have an active HSEN account in order to be authenticated into the Cognos Reporting Application. Once the User Request and Change Form is received, ITS personnel will verify that the form is complete and that the request is from an appointed Security Administrator. ITS will then log the request in the ITS User Request Tracking SharePoint application and contact the OTDA approver in the Bureau of Audit &

Quality Improvement (AQI) to sign off on the request. Once sign-off has been received, the security contact will be notified that the request is complete and the user will receive a "Welcome to Cognos Reporting and the WMS Audit Tool" email.

2. Auditing Authorizations

On a quarterly basis, Cognos Administrators will audit each SSD's user authorizations. Cognos Administrators will confer with the appointed Security Contact in each SSD, auditing the list of currently provisioned users and the data access levels of each provisioned user. During the audit, the Security Administrator must make any necessary changes to the individual user's accessibility to Cognos data. Data access may need to be modified for a number of reasons including, but not limited to, a change in business need for the user, retirement, or termination of employment.

PLEASE NOTE: An individual user's accessibility should be consistently monitored by a SSD and changed in a timely fashion when necessary, in the manner outlined above at III B 1. A SSD should not wait until an audit to address such changes.

3. Confidentiality

When granting new user access to Cognos, particularly the new WMS Audit tool functions, a SSD must be aware of the confidential and sensitive nature of data they are accessing from WMS/WRTS, and of the SSD's non-delegable responsibilities to properly safeguard such data. Cognos, and all data accessed through it, are confidential and proprietary to the State of New York.

Access to the Cognos audit tool shall be limited to specifically authorized employees and only for authorized purposes. SSD management must assure the propriety of the use of and access to such confidential and secure information by authorized employees. This access may NOT be delegated to a third party. That is, access may only be authorized for a specified SSD employee.

C. Using the WMS Audit Tool

Attached is guidance on how to access and use the tool (see "How to Access and Use WMS Audit Tool"). A SSD must document the reasons for each query run using the WMS Audit tool and retain the

documentation, in compliance with record retention policies, for possible subsequent review by OTDA.

D. Terminating Users Permissions/Notification if Access Should be Terminated

Permission to utilize the WMS Audit Tool may be terminated at any time at the sole discretion of OTDA or upon the request of the Local District Cognos Security Administrator.

E. How to Proceed if Audit Tool Does Not Meet the Needs of the User

Requests for more granular or complex investigative reports, or reports that may involve databases not utilized by the WMS Audit tool, should be emailed to A&QI at otda.sm.aqi.auditloginfo@otda.ny.gov. OTDA A&QI will then review the request and, if approved, will facilitate creation of the report by our ITS partners. Once the requested report has been generated, it will be transmitted securely back to A&QI, which will then securely provide the report to the requestor.

Questions or issues regarding the propriety or scope of requests should be sent for review to the OTDA Counsel's Office Point of Contact Carmela Pellegrino, Esq. at Carmela.Pellegrino@otda.ny.gov.

F. Unavailability of Cognos

In the event Cognos is unavailable to the user, and the report is time sensitive, users may request that the report be generated by A&QI. Requests should be sent to otda.sm.aqi.auditloginfo@otda.ny.gov with a note indicating that Cognos is unavailable and the request is time sensitive. Please also include the reason for the request. A&QI will then review the request and, if approved, will facilitate creation of the report by our ITS partners, where possible. Once the requested report has been generated, it will be transmitted back to A&QI, which will then securely provide the report to the requestor.

G. Technical Questions/Concerns

Users of the WMS Audit Tool who experience any problems while using the report should call the Customer Care Center (CCC) at 1-800-697-1323. The CCC will do an initial assessment and then forward the ticket to the Cognos Administrators if needed.

H. Suggested Enhancements

If a user has any suggestions as to enhancements that would be beneficial for the SSD if made available on Cognos, we ask that you please contact A&QI at otda.sm.aqi.auditloginfo@otda.ny.gov.

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