Uniform Assessment System for New York

UAS-NY Offline Application v1.4.17

Installation Guide

SPECIAL EDITION

READ IN ITS ENTIRETY

NEW YORK STATE | **Department of Health** | **Medicaid Redesign Team**

Contents

CRITICAL UPGRADE INFORMATION

The UAS-NY system will be upgraded to version 1.4.17 the weekend of May 11-13, 2018.

Due to the nature of the technology changes with this upgrade, a new version of the UAS-NY Offline Application is available and this new version does *not* include a patch upgrade installation. This means:

The user must perform a synchronization and remove all case data from their current installation immediately prior to following the procedure of performing a full installation of the new UAS-NY Offline Application version 1.4.17.

- The currently installed version of the UAS-NY Offline Application v1.3.58 *cannot be upgraded* with a patch installation to the new version 1.4.17.

- The full installation of the new UAS-NY Offline Application v1.4.17 will remove the existing installation as part of the process.

- Any data the user downloaded to their current version of the UAS-NY Offline Application will be *removed/deleted* during the procedure.

CRITICAL

Failure to perform a synchronization of user data <u>immediately</u> prior to installing version 1.4.17 will result in unrecoverable data loss.

This synchronization must take place prior to 4pm Friday May 11, 2018.

The recommended procedure to follow when installing the new version of the UAS-NY Offline Application v1.4.17 is:

1. Have the user perform a synchronization with their currently installed version of the UAS-NY Offline Application (1.3.58);

   During the synchronization process, instruct the user to remove all cases from their Offline Application.

2. Have the user VERIFY that their Offline Application v1.3.58 is empty; this can be performed by reviewing their offline case list when they start the Offline Application.

3. After confirming that the Offline Application contains no case data, perform the procedure to install the new UAS-NY Offline Application v1.4.17. As part of this procedure, the existing installation will be removed.

Introduction to the UAS-NY Offline Application

Intended Reader of This Document

This document is intended for the Information Technology specialist who will be responsible for installing the UAS-NY Offline Application on laptop computers and supporting the users of those computers.

Overview of the UAS-NY Offline Application

The UAS-NY is a web-based application. Your organization's users will use this web-based application to conduct assessments for recipients who are being served by your organization. The assessment may be performed in the recipient's home or residence community.

There will be times when your organization's users may be required to perform an assessment in a location that does not have internet access (WIFI or cellular). To accommodate this circumstance, the UAS-NY includes a version of the application that can be installed on a laptop computer and used to conduct assessments *without* internet access.

This application is referred to as the **UAS-NY Offline Application**. Using the UAS-NY Offline Application to conduct an assessment while not connected to the internet is referred to as **working offline**. For an assessor to work offline, the UAS-NY Offline Application must first be installed on the user's laptop computer.

Process of Working Offline

Note: To use the UAS-NY, users must have a Health Commerce System (HCS) account credentials and assigned UAS-NY role.

The process of conducting an assessment offline requires an initial internet connection to select and synchronize data that will be accessed when offline. When connected to the internet, the user will start the UAS-NY Offline Application and enter their HCS credentials. The user will then be connected to the UAS-NY online system.

Once authenticated, the user may select client records and synchronize them to the Offline Application's database (located on the laptop computer). Once data has been synchronized to the Offline Application's database, the assessor will be able to disconnect from the internet, exit the application, go the recipient's home, start the UAS-NY Offline Application *without* an internet connection, open the recipient's record, and conduct the assessment.

When internet connectivity is available, the assessor will again connect to the UAS-NY online system and synchronize the data (i.e. copy the new data back to the online system). During this process, the assessor will have the option of retaining or removing the data from the Offline Application database on their laptop. We recommend that users remove data from the Offline Application if the data is no longer needed (i.e. when the assessment is complete).

Security Responsibility

While there are benefits for your organization's users to be able to work offline, there are also drawbacks and risks to your organization. Most notably, any data synchronized to your organization's laptop computers is *your organization's responsibility.*

The UAS-NY Offline Application will place on your organization's laptop computer personally identifying information (PII) and protected health information (PHI). This information is subject to the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Health Information Technology for Economic and Clinical Health (HITECH) provisions of the American Recovery and Reinvestment Act of 2009 (ARRA). The United States Department of Health and Human Services promulgated regulations containing standards with respect to the privacy of individually identifiable health information known as Protected Health Information. Those standards are in Parts 160 and 164 of Title 45 of the Code of Federal Regulations (HIPAA Privacy Rule). For further information, go to http://www.hhs.gov/ocr/privacy/.

IMPORTANT!

Use of the UAS-NY Offline Application does not alter or mitigate your obligation to adhere to these laws. *Your organization is responsible for ensuring all appropriate security protocols are in place necessary to enforce these laws. Such policies must be sufficient to secure and protect the confidentiality and integrity of the data your users synchronize to the UAS-NY Offline Application. Inadequately protected data that is lost or stolen while in your organization's possession could result in costly fines to your organization!*

If your organization permits your assessors to use their own personal laptop computers to perform assessments using the UAS-NY Offline Application on your behalf, your organization assumes full responsibility for ensuring those laptops are appropriately configured and secure.

The Department of Health and your respective agency is making the UAS-NY Offline Application available to you as a convenience to your assessors but makes no assurance as to the protection of the data housed in the offline database while in your possession. Your organization is responsible for establishing and enforcing policies and procedures regarding the administration and use of portable computing devices on which this data will be placed. Be sure that your organization has taken appropriate steps to adequately secure the computing devices and protect the data before installing and using the UAS-NY Offline Application.

Training for Using the Offline Application

The UAS-NY training course "2300 Using the UAS-NY Offline Application" provides instruction for your organization's users on how to use the offline application to synchronize data and conduct assessments. A user guide is also available. Both resources are available in the UAS-NY Training Environment.

Questions concerning the installation of the UAS-NY Offline Application may be directed to the UAS-NY Support Desk at 518-408-1021 or via email at uasny@health.ny.gov.

UAS-NY Offline Application Installation

This section describes the preparations necessary to install the UAS-NY Offline Application v1.4.17.

Please read this section carefully as there are security precautions built into the installation process.

Authentication

User identity and authentication to the UAS-NY application is managed via the Department of Health's Web Portal, *the Health Commerce System (HCS)*. HCS access is managed by the NYS Department of Health and is subject to all Federal and NYS Security protocols in compliance with HITECH/ HIPAA and related New York State laws. The HCS includes an identity validation process referred to as Trust Level 3 Assurance. This protocol validates a user's identity with the NYS Department of Motor Vehicles via a NYS Driver's Licenses or NYS Non-Driver Identification card. Additional protocols are in place for when users do not have either of these identification cards.

IMPORTANT!

*All users that require access to the UAS-NY application must have their own HCS account with Trust Level 3 assurance. HCS user accounts may **not** be shared.*

The UAS-NY is a role-based system. Every UAS-NY user has a UAS role assigned to their HCS credentials under the organization for whom they work. While the HCS credentials verify user identity, the UAS role determines what data the user can view or edit and what functionality the user may access in the UAS-NY application, both online and offline.

This role-based capability is critical to ensuring the protection of data in compliance with HIPAA, HITECH, and New York State law (as referenced in the section titled *Security Responsibility* on page *3*).

IT Personnel: Access to Offline Application Installation Files

IT Personnel who install the Offline Application on behalf of their organization may obtain an HCS account and have assigned to it (by their organization's HCS Coordinator) the UAS role called "UAS-NY IT". HCS users who have this role assigned to their account may log into the HCS, start the UAS-NY TEST DRIVE application, and access a training module called "8500 Online and Offline Application."

This training module contains technical information related to the UAS-NY Online and Offline applications. It also includes links to download the .zip file containing the executables for installing the UAS-NY Offline Application and related installation instructions.

Organizational Users: Access to Offline Application and UAS-NY Data

When users who have permission to use the UAS-NY Offline Application start the application, they are prompted to authenticate with the HCS. This process instantiates the user's UAS-NY roles (i.e. permissions) to the Offline Application. When the user then synchronizes data from the online system to their offline database, the UAS-NY Offline Application enforces all role-based protections.

Note: This process does *not* retain the user's HCS authentication credentials (i.e. password).

When working offline, the Offline Application cannot re-authenticate the HCS the user's credentials. Because of this, the Offline Application relies on the user's authenticated access *to the laptop* as a trust of user identity. Effectively, the Offline Application trusts in a correlation between the laptop user account and the HCS user account.

To ensure appropriate enforcement of this trust, the following protocols must be followed and enforced by your organization:

- Each user of the laptop must have their own secured user account on the laptop.

    Users must *not* share user accounts on the laptop.

    Users must *not* share user account login credentials to the laptop.

- Each user ID on the laptop must have its own installation of the Offline Application.

    Separate per-user account installations ensure that any data that is downloaded by one user is available only to that specific user per their laptop user account.

    More detail about the installation is provided in the section titled *Understanding the Install and Un-Install Programs* on page *7*.

IMPORTANT! SECURITY CONSIDERATIONS

Additional precautions should be taken to protect the laptop and any data stored on it. *Your organization is responsible for ensuring the security of protected data in accordance with any and all Federal and State laws and regulations.*

Examples of how to protect mobile and portable devices include, but are not limited to: Configure the laptop with full-disk encryption; enforce strong passwords to access user accounts; install and maintain updated virus scan software; end user security training; locking laptops when not in use; password protection; and other precautions that may also be in order.

Caution! An inadequately protected and poorly administered laptop computer could result in costly fines to you and your organization.

Laptop System Requirements

The following table presents the technical requirements for using the UAS-NY Offline Application.

Hardware Specifications	Operating Systems	Browsers and Settings	Software Requirements
Core 2 Duo processor (laptops circa 2012 or newer). 4GB memory or more. 1.2 GB available hard disk space. Appropriate security measures (e.g. disk level encryption, strong passwords, no shared logins/accounts, etc.). Internet connection for synchronizing data 1366 x 768 screen resolution (*min*)	MS Windows 7 MS Windows 10	Internet Explorer 10 Internet Explorer 11 Firefox (latest) Chrome (latest) Browser encryption set to TLS1.2 or later Browser set to accept cookies Pop-up blocker disabled JavaScript enabled	Installation of the UAS-NY Offline Application v1.4.17

Network and Firewall Settings

The UAS-NY Offline Application uses http**s** protocol, which is handled by port XXX. Ensure that port XXX is open for inbound and outbound traffic in your network environment.

Where to Download the UAS-NY Offline Client Application

The UAS-NY Offline Application installation program can be obtained by logging into the Health Commerce System (HCS) and, once logged in, redirecting your browser to the following URL:

https://commerce.health.state.ny.us/hpn/ctrldocs/uasny/client/uasny1416.zip

You must have a UAS role assigned to your HCS user account to reach this download area. If you are an IT professional for your organization, the most appropriate role is UAS-NY IT.

You will be prompted to download and save a .zip file that contains a copy of these instructions and *one* installation program. The uasny.zip file is approximately 285mb in size.

You can also access the download from the UAS-NY Training Environment. This is accessible via the UAS-NY **TEST DRIVE** application in HCS using your UAS-NY IT role. After starting this application, you will proceed to the training course titled *8500 Online and Offline Application*, and then proceed to the UAS-NY References and Resources section.

Understanding the Install and Un-Install Programs

For this release, there is only ONE installation package and that is a **Full Installation**.

See *CRITICAL UPGRADE INFORMATION* on page *1* for explanation.

The recommended procedure to follow for this release of the UAS-NY Offline Application v1.4.17 is:

1. Have the user perform a synchronization with their currently installed version of the UAS-NY Offline Application (1.3.58);

   During the synchronization process, instruct the user to remove all cases from their Offline Application.

CRITICAL

Failure to perform a synchronization of user data <u>immediately</u> prior to installation of version 1.4.17 will result in unrecoverable data loss.

This synchronization must take place prior to 4pm Friday May 11, 2018.

2. Have the user VERIFY that their Offline Application v1.3.58 is empty; this can be performed by reviewing their offline case list when they start the Offline Application.

3. After confirming that the Offline Application contains no case data, perform the procedure to install the new UAS-NY Offline Application v1.4.17. As part of this procedure, the existing installation will be removed.

   See *Full Installation Procedure* (next section).

Full Installation Procedure

The full installation program will install and configure all components required to run the UAS-NY Offline Application v1.4.17. The installation program is:

mobile-#.#.##-uasny.exe

Where # specifies the version number of the Offline Application that will be deployed. The new version is: **mobile-1.4.17-uasny.exe**. If you run the full installation with a current version already installed, you will be prompted to uninstall the old version first.
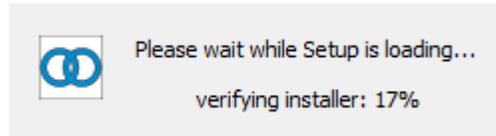
IMPORTANT!

Running the **FULL** installation program when an existing version is already installed will automatically perform an *un-install* of any previously installed version. An un-install will *permanently remove all pre-existing data,* including data the user has not yet uploaded!
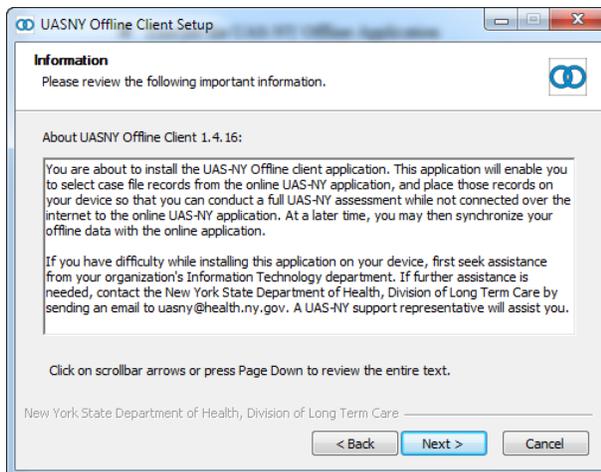
Follow the procedures for un-installing the Offline Application v1.3.58 as outlined in the previous section.

Below are step-by-step procedures to install the UAS-NY Offline Application. The # character represents the version that will be installed.

■ Execute the UAS-NY Offline Application installation program by double clicking on the installer icon. The installation program will initialize.

Please wait while Setup is loading...

verifying installer: 17%

■ The installation program will launch and you will be prompted with a Welcome screen. Click the Next button to continue with installation.

UASNY Offline Client Setup

Welcome to UASNY Offline Client 1.4.16 Setup

Setup will guide you through the installation of UASNY Offline Client 1.4.16.

It is recommended that you close all other applications before starting Setup. This will make it possible to update relevant system files without having to reboot your computer.
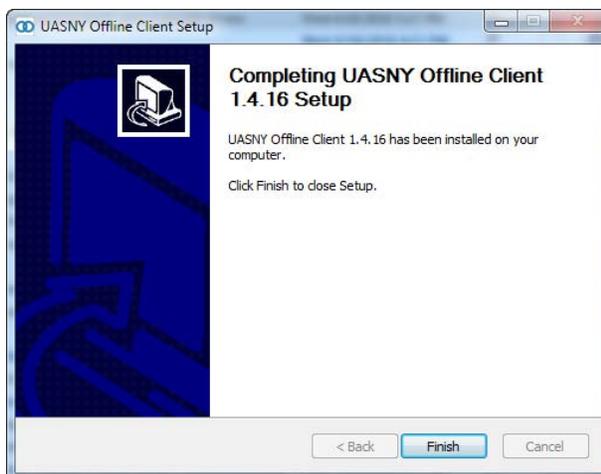
Click Next to continue.

Next >   Cancel

■ The Information screen will be displayed. Click the Next button to continue.

■ The installation will begin copying files and installing the software.
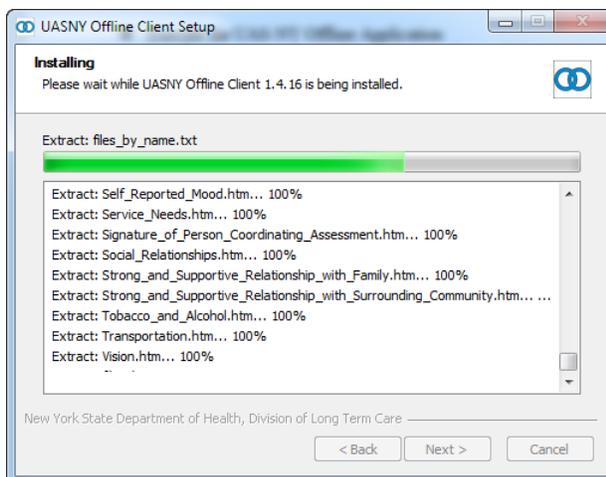
■ When the installation has finished, a Completion screen will display. Click the Finish button to conclude the installation.

■ The UASNY Offline Client icon is now visible on the Desktop.

Silent Installation

You may run the **full** installation program in silent mode and/or from a command line. This will enable your organization to automate the installation and upgrade process.

The silent installation capability will *not* work for or under the following conditions:

- Silent **un**install capability is not supported.

- Silent **full** installation will not work if an existing installation of version 1.4.17 is present (i.e. a full re-installation); if you attempt a silent full installation and an existing current version is present, the installation process will cancel.

  Note: The silent full installation *will* work if there is an existing installation of version 1.3.58 installed. This process will uninstall the existing software. **Caution is advised** – the uninstall process will remove all existing data, including data the user has not yet uploaded!

To run the silent installation, you will need to be logged into the computer under the user account that will be using the application or with administrative rights that permit you to install the application under the user's account. See **Organizational Users: Access to Offline Application and UAS-NY Data** on page **5** for more information.

The syntax for the silent installation is:

<install file> /S

Where <install file> is the name of either the full or the patch installation file.

For example:

mobile-1.4.17-uasny-patch.exe /S

Note the /S is a capital letter. Completion of the installation can be verified by checking the log file "patch.log" in the local logs folder (\UASNY Offline Client\logs).

Installation Location

The UAS-NY Offline Application software is located in this directory:

%APPDATA%\UASNY Offline Client

The exact location may vary, but entering the above path into Windows Explorer should navigate to the correct location. For example, in Windows 7 the full path will typically look like the following, where *<user name>* is the name of the user's Windows account):

C:\Users*<user name>*\AppData\Roaming\UASNY Offline Client

What Gets Installed

The installation process will deploy a java application, a MYSQL database, and an Apache/Tomcat web/app server. Once installed, when the user starts the UAS-NY Offline Application, this technology stack will start up—running locally and restricted to the specific user account under which it is installed—and display the user interface in a web browser.

The installation process installs the technology stack in the user's Application Data directory:

> C:\Users*user*\AppData\Roaming\UASNY Offline Client

The UAS-NY Offline Application does not install user or system services other than the web server that runs the application.

Once installed, no further configuration will be required, and users will be able to start using the application in combination with their valid HCS credentials.

When the UAS-NY Offline Application is Running

The UAS-NY Offline Application will present the user with a browser window where the user's interaction with the application will take place. However, when the browser is closed, the UAS-NY Offline Application will continue to be running.

To help clarify this for users, the UAS-NY Offline Application now includes an application window that stays available after the browser is closed to *show* that the application is still running. Users will see this application window:
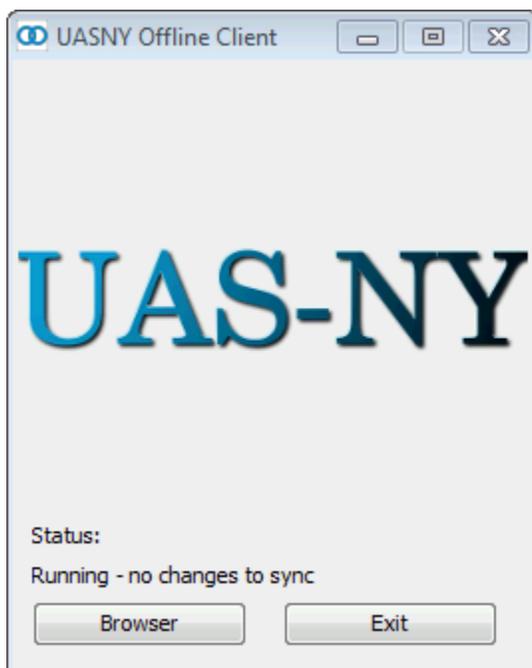
To close the application, simply click the "Exit" button and all related services for the UAS-NY Offline Application will be ended. Additionally, to get back into the browser mode, the user may click the "Browser" button.