



Technical Bulletin #4: System User Roles and Responsibilities

Revised: September 28, 2016

The purpose of this technical bulletin (first issued March 9, 2011) is to provide and define the roles and responsibilities for state users that will be given access to the National Youth in Transition Database (NYTD) Portal. This revised bulletin includes new guidance from the Administration for Children and Families (ACF) regarding how user accounts are to be created and managed.



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1 Introduction

1.1 Overview of the technical bulletin

This technical bulletin provides an overview of the federal NYTD system and how states are to use it to complete the NYTD data file submission process (Section 2). This document also defines the roles and responsibilities for state users who will be given access to the NYTD Portal (Section 3). Finally, the revised bulletin provides new guidance regarding the process states must use to request changes to user accounts (Section 4). For technical support with the NYTD system, contact the NYTD Help Desk at NYTDhelp@acf.hhs.gov.

1.2 NYTD background

Public Law 106-169 established the John H. Chafee Foster Care Independence Program (CFCIP) at section 477 of the Social Security Act, providing states with flexible funding to carry out programs that assist youth in making the transition from foster care to self-sufficiency. The law required ACF to develop a data collection system to track the independent living services states provide to youth and develop outcome measures that may be used to assess States' performance in operating their independent living programs. The law also required ACF to develop reporting requirements and impose a penalty of between 1 and 5 percent of the State's annual allotment under CFCIP for noncompliance with these requirements.

To meet the law's mandate, ACF published a proposed rule in the Federal Register on July 14, 2006, and a final rule on February 26, 2008. The rule, codified into federal regulation at 45 CFR 1356.80 (<http://edocket.access.gpo.gov/2008/pdf/E8-3050.pdf>), established the National Youth in Transition Database (NYTD) and requires that states engage in two data collection activities. First, states must collect information on youth and the independent living services they receive that are paid for or provided by state agencies that administer the CFCIP. Second, states must collect outcome information on certain youth in foster care and must follow these youth over time to collect additional outcome information. The regulation also outlined the compliance standards a state's NYTD data file must meet, including the penalties that may be imposed on states based on the area and degree of noncompliance. States began collecting NYTD data on October 1, 2010, (federal fiscal year 2011) and report data to ACF semiannually. The collected information allows ACF to track which independent living services states provide and assess the collective outcomes of youth. In addition, because a common identifier must be used for youth reported to both NYTD and the Adoption and Foster Care Analysis and Reporting System (AFCARS), ACF also will be able to analyze the information related to a youth's foster care experiences reported to AFCARS along with their service and/or outcomes information reported to NYTD.

2 General Information

2.1 Overview of the NYTD system

The federal NYTD system (the system) receives, processes and stores state NYTD data files transmitted to ACF. The system is comprised of the following components.

2.1.1 Database

NYTD data is stored in a relational database management system. The database also includes an automated routine to check data files for compliance with NYTD standards in accordance with *NYTD Technical Bulletin #2* and for data quality advisories as described in *NYTD Technical Bulletin #3*. Both technical bulletins can be accessed online here: <http://www.acf.hhs.gov/programs/cb/laws-policies/technical-bulletins/nytd>.

2.1.2 NYTD Portal

The NYTD Portal is the online system that allows state staff to view compliance and quality information on transmitted data files and to select a data file for official submission to ACF. Federal staff access the NYTD Portal to view states' submitted data files for compliance review and monitoring purposes as well as for the purposes of data analysis. The *NYTD System User Manual* also is available on the NYTD Portal as a separate technical document to aid users in accessing and using the NYTD Portal.

2.2 Overview of the NYTD data file submission process

Submission of the NYTD data file is a two-step process. First, states must transmit NYTD data files electronically to the National Institutes of Health (NIH) Center for Information Technology using the file transfer software required by ACF. Once the data file is processed, the file will be loaded into the NYTD Portal for state review. Only state data files that meet ACF's specifications for file format will be processed. Requirements and specifications for file format and transmission are listed in *NYTD Technical Bulletin #1* available at <http://www.acf.hhs.gov/programs/cb/laws-policies/technical-bulletins/nytd>.

Second, states must use the NYTD Portal to select a data file for official submission to ACF. Only data files selected for submission within the NYTD Portal will be considered an official submission for a reporting period. Federal staff will be able to review submissions from states including compliance information as well as access data for further processing and analysis.

3 NYTD Portal User Roles and Responsibilities

3.1 NYTD Portal user roles

User roles define and control access to the NYTD system and functionality. For state users, the NYTD Portal has three secondary roles.

3.1.1 *State authorized official*

The “state authorized official” user role provides access to the NYTD Portal for selecting a NYTD data file for submission to ACF on behalf of the state as described in Section 2.2. A user with the secondary role of “state authorized official” also can view transmitted NYTD data files and run reports. Finally, state authorized officials will be able to view the state’s list of NYTD Portal users in order to facilitate the monitoring of state user accounts. In addition to this role-based access, state authorized officials are the only individuals who can request changes to user accounts on behalf of the state (see Section 4.2 for more information).

3.1.2 *Manager*

The “manager” user role provides access to the NYTD Portal for selecting a NYTD data file for submission to ACF on behalf of the state as described in Section 2.2. A user with the secondary role of “manager” also can view transmitted NYTD data files and run reports. Because users with this secondary role have the necessary credentials to submit NYTD data files, we encourage these users to be knowledgeable of all NYTD reporting requirements and technical bulletins.

3.1.3 *Default user*

The “default” user role provides limited access to the NYTD Portal for viewing transmitted NYTD data files and running reports only. A default user cannot select a NYTD data file for submission to ACF using the NYTD Portal as described in Section 2.2. This user role may be assigned to users who need “view-only” access to state data files and reports.

3.2 NYTD Portal user responsibilities

All NYTD Portal users share responsibility for protecting the security of NYTD data and the NYTD system. Appendix C provides a listing of user responsibilities that are part of the *State User Security Compliance Statement*. All users must sign and submit a copy of the *State User Security Compliance Statement* before an account can be created (see Section 4 for information about user account management).

4 NYTD Portal User Account Management

4.1 Overview of the NYTD Portal user account management process

All state user accounts are subject to review and approval by ACF. To create, edit or remove a user account, the state is responsible for submitting a request form to the NYTD Help Desk (Section 4.3) for review and approval. The request form must be signed by a state authorized official. Instructions for registering a state authorized official are included in Section 4.2.

4.2 Role of the state authorized official

The state authorized official is the individual or individuals designated by the state to approve state user account requests described in Section 4.3. Appendix A contains the *State Authorized Official Registration Form* that must be submitted to the NYTD system administrator via the NYTD Help Desk for verification and approval. This registration form also is available on the NYTD Portal. States must use this form to register new authorized officials, update contact information for an existing authorized official or to remove an authorized official who no longer needs the authority to submit user account requests on behalf of the state. We recommend that the state select as authorized officials individuals who supervise the state child welfare agency or technology staff who require access to the NYTD Portal to complete the NYTD data file submission process. The *State Authorized Official Registration Form* also may be used to request a NYTD Portal account for the individual designated as the state's authorized official. Finally, please note that all authorized officials must sign and submit the *State User Security Compliance Statement* listed in Appendix C of this technical bulletin.

4.3 NYTD Portal user account requests

Requests to change or update NYTD Portal state user accounts must be submitted to the NYTD Help Desk for review and approval by the NYTD system administrator. States may submit three types of requests:

1. Create a new state user account for a state child welfare agency staff person;
2. Update information pertaining to an existing state user account, including changes to the user's secondary role; and
3. Close an existing state user account when that user no longer needs access to the NYTD Portal.

To submit a request, the state must complete and submit the *State User Account Request Form*. The form and its instructions are included in Appendix B of this technical bulletin and also are available on the NYTD Portal. Please note that a state authorized official must sign each *State User Account Request Form*. Refer to Section 4.2 for information about registering authorized state officials for NYTD purposes. All new state users must sign and submit the *State User Security Compliance Statement* listed in Appendix C of this technical bulletin.

Appendix A. State Authorized Official Registration Form

Instructions: The state authorized official is the individual or individuals designated by the state to approve user account requests for other state users as noted in Section 4.3 of NYTD Technical Bulletin #4. Please provide the following information for the individual(s) who will serve as the state’s authorized official(s). This form must be filled out completely for each registration or change in registration. The NYTD system administrator will verify all registration requests as needed. Confirmation of approved registrations, including initial account information for new users, will be sent to the email address provided by the user on this form. Forms with digital signature can be sent via email by clicking on the form’s submit button (on the NYTD Portal). Registration forms with original signatures can be scanned and sent via email to NYTDhelp@acf.hhs.gov. **Please note:** We are unable to accept emails over 5 MB in total size. If you have questions, please contact the NYTD Help Desk.

1. **Request Type:** Indicate the purpose of the user’s request (select only one).
 Add a new authorized official Update information for existing authorized official
 Remove an authorized official

2. **User Account/Role:** Select “yes” if the individual needs a new NYTD Portal user account or if a user account already exists but the individual needs to change their user role to “state authorized official”. Items 3-7 will be used to set up the user account.
 Yes No

3. **State:** _____

4. **Agency/Office:** _____

5. **First Name:** _____ **Last Name:** _____

6. **Title:** _____

7. **Phone:** _____ **Email:** _____

Name of person submitting this form (Printed): _____

Signature: _____ **Date:** _____

If this is a request to add a new authorized official, please also sign and submit the *State User Security Compliance Statement* (Appendix C of Technical Bulletin #4).

For Children’s Bureau use only INITIALS: _____ REC’D DATE: _____

Appendix B. State User Account Request Form

Instructions: This form must be filled out completely for each user account request. Items 1-7 are to be completed by the state user. Then, an authorized official must sign and date the bottom of the form. The authorized official is the individual designated by the state to approve user account requests. The NYTD system administrator will verify all account requests as needed. Confirmation of approved user account requests, including initial account information for new users, will be sent to the email address in Item 7 provided by the user on this form. Forms with digital signature can be sent via email by clicking on the form's submit button (on the NYTD Portal). Request forms with original signatures can be scanned and sent via email to NYTDhelp@acf.hhs.gov. **Please note:** We are unable to accept any email over 5 MB in total size. Please make sure your total email size with attachment does not exceed 5 MB. If you have questions, please contact the NYTD Help Desk.

1. **Request Type:** Indicate the purpose of the user's request. Select only one.
 Create new user account Edit an existing account Remove account

2. **User Role:** Indicate the requested role-based access of the user. "Default" users have view-only access to the state's NYTD data file transmissions. "Manager" users can view all state NYTD data file transmissions and can submit a data file on behalf of the state. Select only one.
 Default user Manager

3. **State:** _____

4. **Agency/Office:** _____

5. **User First Name:** _____ **User Last Name:** _____

6. **User Title:** _____

7. **User Phone:** _____ **User Email:** _____

A state authorized official must sign below for all user account requests. If this is a new user account request, the user must sign and submit the *State User Security Compliance Statement* (Appendix C of Technical Bulletin #4).

State Authorized Official (Print name): _____

State Authorized Official Signature: _____ **Date:** _____

For Children's Bureau use only INITIALS: _____ REC'D DATE: _____

Appendix C. State User Security Compliance Statement

All new state users and new state authorized officials must sign and submit the following statement acknowledging user responsibilities for ensuring appropriate security of NYTD data and of the NYTD system.

Responsibilities of a NYTD state user:

As a state user granted access to the NYTD system, I agree to abide by the following:

- I will not disclose personally identifiable information (PII) from the NYTD system to anybody except authorized system users whose roles permit access to that data.
- I will not make any unencrypted electronic copies of PII from the NYTD system.
- I will take all reasonable steps to ensure I do not violate the privacy and confidentiality of all PII from the NYTD system.
- I will ensure the proper disposal of PII in any format, including printed reports.
- I will access the NYTD system only to the extent that my duties require such access.
- I will report inappropriate or malicious use of the NYTD system to the NYTD Help Desk.
- I will immediately notify the NYTD Help Desk of any user account changes, including the need to close my account.
- **For state authorized officials only** – I will submit requests for user account requests to the NYTD Help Desk promptly, including notifying when a state user no longer requires access to the NYTD system.

Note: The state user needing access to the NYTD system must sign below:

Name (Printed): _____

Signature: _____ Date: _____