

Uniform Assessment System for New York



UAS-NY, CANS-NY and HCBS/LOC Determination Implementation Guide for Health Homes Serving Children

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**Department
of Health**

**Medicaid
Redesign Team**

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INTRODUCTION TO THE UAS-NY

The Uniform Assessment System for New York (UAS-NY) is a secure, web-based software application housed in the New York State (NYS) Department of Health's (DOH) Health Commerce System (HCS). The UAS-NY contains electronic adult and pediatric assessment instruments for individuals being served in a number of New York State programs under the oversight of various NYS Agencies including: The Department of Health, the Office for People with Developmental Disabilities, the Office of Mental Health, the Office of Substance Abuse Services and the Office of Children and Family Services.

The UAS-NY currently contains ten assessments:

- CANS-NY 0-5 — children ages 0-5
- CANS-NY 6-21 — children/youth ages 6-21
- Community Assessment — adults over the age of 18
- Pediatric 4-17 — children ages 4 through 17
- Pediatric 0-3 — children ages birth through 3
- CAS OPWDD — one instrument across all age groups
- NYS Eligibility Assessment — adults over the age of 18
- Community Mental Health Assessment — adults over the age of 18
- HCBS/LOC Eligibility Determination 0-5 — children ages 0-5
- HCBS/LOC Eligibility Determination 6-21 — children/youth ages 6-21

The UAS-NY also includes a seamlessly integrated online, self-paced Training Environment, which includes training on conducting the CANS-NY and HCBS/LOC Eligibility Determination (HCBS/LOC) and using the UAS-NY application.

The Purpose of this Guide

This guide provides you and your organization with the information necessary to successfully implement the UAS-NY. This guide is intended to be used in conjunction with the courses and resources available in the UAS-NY Training Environment and Schoox, the web-based application that hosts the CANS-NY Assessment Training.

You are strongly encouraged to read this document in its entirety.

This document consists of the following main topics:

- Information about the UAS-NY software application and Training Environment.
- Information to assist you with transitioning your organization to using the UAS-NY.
- A check-list of initial start-up activities for your organization once you have access to the UAS-NY.

- Procedural and reference materials you will need during your transition.

UAS-NY Support Desk

To assist your organization's transition efforts, the UAS-NY Project Team offers the following support options:

- **Transition Support**
Available for the Single Point of Contact should they have questions about or need information relevant to their organization's transition to and implementation of the UAS-NY.
- **User Support**
Available to users should they have questions about the UAS-NY software application or UAS-NY Training Environment.

You may reach the UAS-NY Support Desk by either email or phone:

via email: uasny@health.ny.gov
telephone: 518-408-1021 (option 1) during regular business hours

- **CANS-NY Training and/or the CANS-NY and HCBS/LOC**

If you have questions about the CANS-NY and HCBS/LOC in general or need assistance with regard to training in Schoox, email support@schoox.com or support@TCOMTraining.com.

Staff from The Praed Foundation, owners of the CANS-NY assessments, will get back to you within one business day.

- **CANS-NY Policy**

If you have policy related questions about the CANS-NY assessments or HCBS/LOC you may email: hhsc@health.ny.gov or call 518-473-5569.

Laws, Regulations, Policy, and Guidance

The implementation of the UAS-NY will require you to analyze and adjust your organization's business practices and processes. However, the implementation of the UAS-NY will *not* alter your obligation to adhere to existing laws, regulations, policy, and guidance for the respective programs/plans you operate.

The UAS-NY Project Team works closely with program and plan directors and policy-makers to ensure adequate conveyance of policy information necessary to support your organization's implementation efforts. If you have policy-oriented questions, you may contact the appropriate program director; you may also contact the UAS-NY Support Desk and we can direct you to the appropriate person.

UAS-NY APPLICATION AND TRAINING ENVIRONMENT

In order to make decisions about your organization's implementation of the UAS-NY, it is important to have a fundamental understanding of the UAS-NY application. Some key concepts are presented in the following sections. Please note that detailed information about the UAS-NY is also available in the UAS-NY Training Environment.

The UAS-NY is a web-based application that enables users to enter and maintain information about an individual and to conduct a CANS-NY or a HCBS/LOC. Built into each instrument is a series of research-based algorithms and formulas that are used to generate outcomes and reports that support and/or guide care planning.

The UAS-NY contains more than 637,000 unique records (or case files). Each individual record contains personal identifying information (PII) and protected health information (PHI); this includes demographic data, assessment data, assessment outcomes data, and information to support care planning.

All of this information is maintained in the UAS-NY database, which is owned and operated by the New York State Department of Health. All of this data is accessible by all local social service district and health provider organizations in New York State who require access to it; thereby making the sharing of this information among these organizations unprecedented.

The information you provide into the UAS-NY will be immediately available to other organizations who also need it. The intent of sharing information at this level is to facilitate communication among organizations and ensure quality of care for the individual.

HCS and UAS-NY Security Features

To meet the Health Insurance Portability and Accountability Act (HIPAA) and Health Information Technology for Economic and Clinical Health (HITECH) Act requirements, as well as New York State law, the UAS-NY application is designed with certain security features.

- ❑ The UAS-NY is accessed through the HCS, the Department of Health's web portal. The HCS is a secure, private network designed for sharing health-related information with health organizations throughout New York State. The HCS meets all the requirements of HIPAA and HITECH, as well as other New York State laws.
- ❑ All organizations that have access to the HCS are grouped by organization type. The UAS-NY Project Team has identified the HCS organization types that require access to the UAS-NY and has authorized that access. Your organization is included in one of the organization types that has been granted authorization to access the UAS-NY.
- ❑ Each organization that is represented in the HCS has identified a person in that organization to whom HCS account and administrative responsibilities have been delegated. This person is called the HCS Coordinator. Your organization has (or will have) at least one HCS Coordinator; it is recommended that all organizations have two HCS Coordinators.

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- ❑ Each person in your organization who will access the UAS-NY must have their own HCS user account, and that account must be correctly associated with your organization. HCS user accounts *cannot* be shared.
 - ❑ Pursuant to New York State laws governing PII and PHI, the identity of each user accessing the UAS-NY must be verified and validated to Trust Level 3 assurance. The HCS includes an easy-to-use mechanism to establish this trust level for your organization's users and their HCS accounts. Your HCS Coordinator will perform this activity for each of your organization's HCS users.
 - ❑ The UAS-NY is a role-based system. The UAS-NY Project Team has created UAS-NY specific roles in the HCS for CANS-NY and HCBS/LOC users. The UAS-NY application uses these roles to govern what information may be read or edited, and what functions may be performed. Each person in your organization who will access the UAS-NY must be assigned a CANS-NY role in the HCS. You will work with your HCS Coordinator, and possibly others in your organization, to review the capabilities of each CANS-NY role and determine the appropriate role to be assigned to each of your organization's staff members. Your HCS Coordinator will perform the task of assigning the roles in the HCS to your staffs' HCS accounts. It is important to remember that it is never appropriate to provision all roles to one individual account.
 - ❑ The UAS-NY includes extensive audit logging capabilities. All access to and actions performed within the UAS-NY are captured to support investigation of potential security lapses, breaches or fraud.

More detailed information for HCS Coordinators is included in the Reference and Procedural Materials section of this document.

More detailed information about the CANS-NY roles is included in the Reference and Procedural Materials section of this document.

Access to Client Data

Each client's record in the UAS-NY, including all related assessment data, serves as a shared case file for everyone involved in the client's case; other organizations and users will have access to the same case file information you do.

The set of case files that your organization needs to access is called your organization's case list. It's important to remember that some of the case files in your organization's case list may also be included in other organizations case lists.

As part of your organization's start up activities, you will need to populate your organization's case list. You will need to search for your clients in the UAS-NY, attest to a business need to access their case files and confirm that the client has consented to share information with your organization. Attesting to and confirming consent will place the client's case file record in your organization's case list. Once you perform both tasks and the client's case file is in your organization's case list, it will be available to everyone in your organization who has access to the UAS-NY.

For reasons of security, when you start the UAS-NY application and are presented with your organization's case list search window, no records are displayed. Your staff will be required to provide basic information about an individual before gaining access to that individual's case file.

This protects client data from being inadvertently displayed to unauthorized persons and inhibits unnecessary access to client data in your organization's case list.

Training Requirements for the UAS-NY, CANS-NY & HCBS/LOC Instruments

There are two (2) training systems that users will access to meet the training requirements for the UAS-NY, CANS-NY and HCBS/LOC. These systems are:

❑ The UAS-NY Training Environment

The UAS-NY Training Environment is built into the UAS-NY web-based application and provides required and recommended trainings on the UAS-NY software, features, and interface.

❑ Schoox

CANS-NY & HCBS/LOC Assessors will utilize Schoox, a learning management system, to complete a course sequence to be considered CANS-NY Certified for one year. When creating a new account in Schoox, users must add their HCS User ID into their Schoox account for the UAS-NY to recognize their CANS-NY certification.

Note: If a HCS User gets a new HCS User ID OR if a Schoox user enters their HCS User ID incorrectly into Schoox OR if the user forgets to input their HCS User ID when creating their Schoox profile, the user will need to contact the UAS-NY Support Desk for assistance. Their certification will not transfer to the UAS-NY.

The UAS-NY Training Environment

The UAS-NY web-based application directly interacts with the UAS-NY Training Environment. This interaction dramatically simplifies the process of educating your organization's staff on the assessment instrument and the use of the software application.

NOTE: Accessing the UAS-NY Training Environment **via a VPN connection is not supported.** Use of a VPN connection prevents the UAS-NY Training Environment from properly tracking a user's training course completions and can prevent users from satisfying their training requirements.

The following are some of the key features of the UAS-NY Training Environment.

- ❑ All of the training is web-based and self-paced. Your staff can access the Training Environment from any computer that has internet access. The Training Environment automatically tracks each student's progress through each course, which enables them to leave a session, return at a later time, and resume from where they left off; this means your staff will be able to proceed through each course at a pace that is appropriate for them.

- ❑ The UAS-NY Training Environment includes training courses on the assessment instrument *and* the software application. Most of the courses have been designed as short modules focused on teaching specific topics or tasks. Your staff will learn manageable chunks of information incrementally and not become overwhelmed. Most of the courses can be completed in 30 - 60 minutes. The UAS-NY course catalog consists of fundamental courses which your staff must complete before they can gain access to the production environment.

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- ❑ Like the UAS-NY application, the training that is required for a given user is based on their assigned role(s). The UAS-NY application knows, based on the user's role, what courses the user must take and provides them with easy access into those courses. The UAS-NY will automatically enroll them in the courses, track their progress through the courses, and register their completion.
 - ❑ Each course is classified as being either required or recommended. Required means the user must complete the course in order to access the UAS-NY application. Your staff will not be allowed access to the UAS-NY before completing all mandatory courses.
 - ❑ The UAS-NY Training Environment also includes a "References and Resources" section. This section contains reference manuals for the assessment instruments and a user guide that provides step-by-step instructions for using the UAS-NY software application.

The UAS-NY Training Environment is an ongoing resource, and the materials in the Training Environment will be periodically updated. You should encourage your staff to routinely check the Training Environment for new or updated information.

Schoox

In order to conduct the CANS-NY or HCBS/LOC in the UAS-NY, a user must be CANS-NY certified. Therefore, in addition to the required UAS-NY training, CANS-NY Assessors must complete a course sequence through Schoox. Upon completion of this course sequence, assessors are considered CANS-NY certified for one year. Twice each day, CANS-NY Certification information is transmitted from Schoox to the UAS-NY application.

Users registering for the first time in Schoox must accurately enter their HCS User ID in Schoox for the transfer to occur.

Note: A User, whose HCS ID changes after he or she enters it into Schoox, must contact the UAS-NY Support Desk for assistance at 518-408-1021.

YOUR ORGANIZATION'S IMPLEMENTATION OF THE UAS-NY

To directly assist all organizations affected by the implementation of the UAS-NY, the UAS-NY Project Team has prepared extensive resources to assist you.

This section of this guide describes the Department of Health's expectations of your organization's implementation in general terms and presents a range of activities that your organization must conduct in order to facilitate a smooth implementation of the UAS-NY and an effective integration of the UAS-NY into your business processes.

In general, your organization will:

- learn about the UAS-NY,
- identify and modify organizational processes that are affected by the use of the UAS-NY,
- assess and address the information technology implications of using the UAS-NY, and
- once implemented, your staff will use the UAS-NY to support and enhance care management activities.

The implementation activities listed below are presented in the *general* order in which they should be addressed; some activities may be conducted simultaneously. You have the flexibility to modify the order and the activities to best suit your organization's needs.

Implementation Activities

- Establish a leadership group and make an organizational commitment to successfully implement UAS-NY.
- Appoint a Single Point of Contact (SPOC) to serve as the project manager for your organization's UAS-NY implementation.
- Create an internal and external communication plan to share information about your organization's implementation of the UAS-NY.
- Identify and confirm your organization's HCS Coordinator(s) or take steps necessary to establish one.
- Establish HCS user accounts with Trust Level 3 assurance for all staff who will be required to use the UAS-NY.
- Assess staff computer literacy and provide training as needed.
- Make available to all of your organization's UAS-NY Users, the document titled "UAS-NY Support Guide for CANS-NY and HCBS/LOC Users." This document provides step-by-step information to help staff access the UAS-NY. This guide is available in the References and Resources section of the UAS-NY Training Environment.

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- ❑ Review your organization’s process for conducting assessments and eligibility determinations and identify changes that may be required; prepare to implement those changes and provide training to staff on new or changed procedures.
 - ❑ Review your organization’s current business practices (e.g. personnel, quality, and management) and identify changes that may be required; prepare to implement those changes and provide training to staff on new or changed procedures.
 - ❑ Review and prepare your organization’s information technology infrastructure and identify changes that may be required to support your staff’s use of the UAS-NY; prepare to implement those changes and provide training to staff.
 - ❑ Determine for each staff member the CANS-NY role that is appropriate for them and assign them their role in the HCS.
 - ❑ Promote and support staff completion of the training available in the UAS-NY Training Environment and Schoox.

Leadership and Communication

Two fundamental concepts that your organization should address that will play a key role in the successful integration of UAS-NY into your organization’s business processes is *leadership* and *communication*.

- A leadership team that is supported by executive management sponsorship will yield effective organizational change.
- Open and clear internal and external communication will ensure staff, subcontractors, partners, and other key stakeholders have the information they need to support your organization’s successful implementation of the UAS-NY.

UAS-NY Implementation Leadership Team

One of the first steps your organization should take to implement the UAS-NY is to establish a leadership team. This leadership team should consist of the following:

- ❑ **Executive Sponsorship:** This ensures adequate support for other members of the leadership team who may not have the direct authority to facilitate change within your organization.
- ❑ **Single Point of Contact (SPOC):** The SPOC will serve as the project manager and change leader who will support and guide all of your organization’s transition activities. The SPOC will:
 - serve as the project manager for your organization’s implementation of UAS-NY;
 - be the single point of communication with UAS-NY Project Team;
 - provide periodic updates to internal and external stakeholders on the organization’s vision for, and benefits of, using the UAS-NY;

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- work collaboratively with your organization’s HCS Coordinator(s) to assure appropriate CANS-NY role assignments in the HCS for all staff who will use the UAS-NY;
 - keep track of all aspects of the implementation and monitor your organization’s progress;
 - creatively address issues and concerns as they are identified by staff;
 - within your organization, build a culture of teamwork into all aspects of the transition;
 - monitor and support staff’s timely completion of UAS-NY mandatory and recommended training; and
 - ensure additional training is created and delivered to staff related to business practices that may have changed due to the implementation of the UAS-NY.
- ❑ **HCS Coordinator:** The HCS Coordinator(s) for your organization has been delegated authority to perform select administrative activities using the Department of Health’s web portal. Their inclusion in the leadership team is critical; an inadequately informed HCS Coordinator could result in the incorrect assignment of CANS-NY roles, which could further result in an unnecessary data breach.
 - ❑ **Knowledge Leaders:** Knowledge leaders are staff who are knowledgeable about and involved in your organization’s assessment process. Their involvement will ensure that your organization’s business processes related to managing assessment activities is adequately represented.
 - ❑ **Information Technology:** Inclusion of IT leadership will ensure your staff have adequate access to, and support for, the UAS-NY application.
 - ❑ **Other Organizational Representation:** Many functions within your organization may be affected by the implementation of the UAS-NY. It will be important for you to identify and engage these functions and encourage or require their involvement on the leadership team.

Internal Communication Plan

Clear and open communication within your organization is the most effective way to engage employees and ensure the successful implementation of the UAS-NY. You should be prepared to create and execute an internal communication plan within your organization to ensure consistent understanding among your staff of your organization’s UAS-NY implementation plan and its progress toward completion.

Consider the following questions as you design your internal communication plan.

- What is the role of internal communication in your organization’s implementation of UAS-NY?
- What are the roles and responsibilities of your UAS-NY implementation leadership team in communicating to your organization’s staff?
- What does your organization currently know about the UAS-NY? What needs to change in their current perceptions, attitudes, and access to basic information?

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- How can you best provide staff with accurate and up-to-date information about the UAS-NY and your implementation plan?
 - What do staff need to think, feel and do in order to embrace and successfully adopt the UAS-NY?
 - What are the communication activities you are going to need to perform, and who will be responsible for performing them?
 - What strategies will you employ to ensure that communication is bi-directional?
 - What resources do you need to reach your goals?

External Communication Plan

Inherent in the design of the Health Home program is the coordination between organizations to support the care management of an individual. With the implementation of the UAS-NY, many aspects of this coordination will be easier — albeit different — than you have previously experienced.

Creating an external communication plan will facilitate this synchronization and ease your transition. Communicate with your partners, subcontractors and specialists to convey the date you will begin conducting assessments using the UAS-NY.

It may also be useful to convey who in your office will be trained, what training they will complete, when they will complete the training, when they will have computers available to use for assessments, and when you as an organization will begin using the UAS-NY for assessments.

Organizational Considerations

To support your organization's implementation of the UAS-NY, you will need to review and perhaps adjust the following:

- your organization's case management processes
- internal business processes dependent on assessment data, and
- staff computer proficiency.

You may also realize that there are other considerations that are specific to your organization that must be factored into your implementation plan.

Considering Your Organization's Business Process

As part of your organization's implementation of the UAS-NY, it is important for you to consider how the UAS-NY may impact or be used to support other facets of your organization's business.

The following questions are intended to stimulate thought and discussion among your implementation leadership team about your organization's current and future business practices that may be affected by the implementation of the UAS-NY. It is not intended to serve as an exhaustive list of questions.

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- How is program delivery data currently used by your organization? What type of information is used? What information is available in the UAS-NY to support current data analysis?
 - The UAS-NY requires that all staff who access the UAS-NY have a unique HCS account and be assigned a specific role in the UAS. How will changes in staff status be communicated to your organization's HCS Coordinator(s)? Who will determine the appropriate CANS-NY roles? Who will ensure that new staff have appropriate access?
 - How will the organization support staff completion of recommended online training? What local training will be conducted to ensure staff understand changes or new local processes or procedures? How will supervisors support their assessors as they transition to the UAS-NY?
 - What supports will be put in place to ensure the accuracy and reliability of assessments or eligibility determinations? What internal supports will be implemented to provide technical support to staff?
 - Will data from the UAS-NY be used by your organization to support other internal systems or processes? How will that occur? Who will be responsible for this process? How often will this occur?
 - How is assessment and eligibility determination data used to support planning, management, or other administrative functions? How will your organization obtain and use data from the UAS-NY to support these business processes?
 - Who will be responsible for reviewing the quality of UAS-NY data? Who will build institutional knowledge of UAS-NY and to proactively use UAS-NY data to support management and improvement of quality and care?

Information Technology Support

The UAS-NY is a technology-based system that requires specific technical arrangements be in place in order for your organization's users to be successful. Your IT department is best qualified to establish these arrangements. As such, you will need to actively engage your organization's IT department to obtain an appropriate level of technology support for your organization's UAS-NY users.

To assist your organization's IT department in providing the support you will need, the Procedural and Reference Materials section of this document includes UAS-NY technical specifications that were written explicitly for them. You should make that material readily available to your IT department as part of your implementation efforts.

As a summary, the technical specification materials cover:

- browsers and browser versions supported by the UAS-NY;
- browser settings, extensions, and plug-ins that must be established to support using the UAS-NY application and the UAS-NY Training Environment;
- the level of internet access (including bandwidth) that is required to support using the UAS-NY application and UAS-NY Training Environment (this is encapsulated in a general

system architectural and description of training courses and is provided to support thorough understanding); and

- network obstacles that may need to be addressed in order for your UAS-NY users to access the UAS-NY web-based application.

Promoting Staff Computer Proficiency

To conduct assessments using the UAS-NY and to complete the mandatory and recommended UAS-NY training, your staff will need to be proficient and comfortable using computers and the internet. Ensuring this proficiency is your organization's responsibility, this cannot be overstated.

There are many free online computer readiness resources available to you, most notably through Microsoft. The Microsoft Digital Literacy Standard Curriculum Version 4 features screen shots and simulations from Windows 8 and Microsoft Office 2013 to illustrate and provide hands-on examples. The Digital Literacy Standard Curriculum Version 4 teaches generic information and communication technology (ICT) skills and concepts and includes the following four courses:

- Computer Basics:** This course introduces you to the fundamentals of computing, explains the components of a computer, explores operating system basics, and shows you how to use a mouse and a keyboard.
- The Internet, Cloud Services, and World Wide Web:** This course shows you how to connect to the Internet, browse Web pages, navigate Web sites, use search engines, and exchange e-mail with others.
- Productivity Programs:** The course teaches you how to choose the right software for your project. You will learn the fundamentals of word processing, spreadsheets, presentation software, and databases.
- Computer Security and Privacy:** This course explains the ethical and legal issues related to Internet usage.

These resources may be accessed at:

<http://www.microsoft.com/en-us/digitalliteracy/overview.aspx>

CANS-NY Roles

Introduction to CANS-NY Roles

Many roles in the HCS are designed to match functional responsibilities in an organization, often by job title; for example: Medical Director, or Clinical Supervisor. The CANS-NY roles do not function this way. Instead, the CANS-NY roles are designed to enable the UAS-NY application to govern:

- what **data** can be viewed or edited, and
- what **functions** may be performed.

In short: CANS-NY roles authorize access.

The CANS-NY roles are assigned to a given user and will restrict their functional access in the UAS-NY application.

Description of CANS-NY Roles

The following table provides a summary description of each CANS-NY role and is a good starting guide for you to understand what level of access you are authorizing when you assign the role to one of your staff.

A more detailed definition of the roles is available in the section titled [CANS-NY Role Specifications Detail](#).

The CANS-NY roles are as follows:

<i>ROLE</i>	<i>Brief Title</i>	<i>Description</i>
CANS-NY 15	Administrative Support Staff	Reserved for administrative staff that supports the provider level assessors and supervisors. This user can create person records and generate reports but CANNOT ADD CANS-NY Assessments or HCBS/LOC.
CANS-NY 40	CANS-NY Assessor	Reserved for individuals that have the appropriate CANS-NY certifications to conduct assessments and HCBS/LOC Assessors that are assigned by the Care Management Agencies only. Users in this role are responsible for the completion and finalization of any assessment they add to a person record.
CANS-NY 50	CANS-NY Assessor Supervisor	Reserved for individuals that have supervisory or managerial purview over the assessor teams. Supervisors can generate individual and aggregate reports from within the organization's case list, but can't conduct CANS-NY assessments or HCBS/LOC. Can sign as a review/consult.
CANS-NY 60	CANS-NY Assessor READ ONLY	READ ONLY access is reserved for assessors who have lapsed CANS-NY certifications. This role permits VIEW ONLY access to the user's organization case list and all CANS-NY Assessments and HCBS/LOC (finalized or unfinalized). Users are unable to add, edit or finalize CANS-NY Assessments or HCBS/LOC until the CANS-NY Certification is renewed.

*Note:

- If you assign the CANS-NY 40, you must assign the CANS-NY 60 to the same user.
- If you assign the CANS-NY 50, you must assign the CANS-NY 40 and CANS-NY 60, **if** the 50 Supervisor requires the ability to conduct assessments.

Considerations for CANS-NY Role Assignment

Prior to assigning a CANS-NY role, you should consider the following:

- What are the staff person's general responsibilities related to the assessment process? Will staff be required to enter or edit data, or will they only be required to view or read data?
- What level of access to data protected by HIPAA, HITECH and other New York State laws does the staff person require?
- What are the programmatic requirements or regulations for staff related to the completion of the assessment? What experience, certification, or background must staff have to perform functions related to the assessment process? Is the CANS-NY role consistent with these requirements?

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- What is the one most appropriate role for the staff member?
 - Based on the assigned CANS-NY roles, will the organization be able to perform all required responsibilities within the UAS-NY?

What process will be implemented to monitor and modify role assignments? Who will be responsible for this?

Qualification Requirements for Assessors

ALL Assessors must have an active CANS-NY certification in Schoox and must complete all required UAS-NY Training to access the UAS-NY.

Assessors whose CANS-NY certification has lapsed may access the UAS-NY in READ ONLY mode using their CANS-NY-60 to view their case list records but cannot add, edit or finalize an assessment until the CANS-NY certification is renewed.

HCS Coordinators

Your organization's HCS Coordinator(s) has been delegated authority by the Department of Health to perform certain account management functions in the HCS. As such, you will work with your HCS Coordinator(s) to perform those functions necessary to enable your users to gain access to the UAS-NY. Those functions are described in the following sections.

Creating HCS User Accounts

Every user of the UAS-NY is required to have their own individual HCS user account. It is not permissible for accounts to be shared among users. You will work with your organization's HCS Coordinator to create HCS user accounts for each staff member in your organization who requires access to the UAS-NY. Your HCS Coordinator is familiar with the procedures for creating new HCS user accounts. Please note that a paperless process to create HCS User Accounts is available. If you need assistance regarding the HCS, contact the Commerce Accounts Management Unit (CAMU) at 866-529-1890.

Trust Level 3 Assurance

In accordance with New York State Information Technology Policy No: NYS-P10-006: *New York State Identity Assurance*, updated: 02/16/2017, and in conjunction with a corresponding data classification of UAS-NY data, currently, access to the UAS-NY requires assertion of Trust Level 3 (TL3) assurance for *all* UAS-NY users.

TL3 assurance for UAS-NY access will be enforced via HCS user account credentials. *All of your organization's UAS-NY users' HCS accounts must be credentialed to TL3 assurance in order to use the UAS-NY.*

HCS user account management capabilities include an easy-to-use, real-time validation mechanism for establishing TL3 credentials on a given HCS user account. This automated mechanism is based on the rigorous identity validation processes that the New York State Department of Motor Vehicles (DMV) employs prior to issuing identification-related cards, such as a driver's license or a non-driver identification card.

To establish the TL3 assurance credential for your organization's UAS-NY users, they will each need to possess a New York State identification card issued by the New York State Department of Motor Vehicles. This **must be** either a NYS driver's license or a NYS non-driver photo identification card. There are no substitutions or workarounds. Your HCS Coordinator will use this ID card to establish the TL3 credential on each user's HCS account.

Note: Being a New York State resident is **not** required to obtain a New York State non-driver photo identification card.

The NYS DMV has offices conveniently located throughout the state should your staff need to obtain a New York State ID. Information relevant to obtaining a New York State identification card can be found here:

<http://www.dmv.ny.gov/forms/id44.pdf>

HCS Coordinators are not permitted to establish Trust Level 3 assurance for their own account. Each organization in the HCS has named a Director as well as an HCS Coordinator, and both of these individuals have authority to verify trust level for users. If your organization's Director and HCS Coordinator is the same person, you must establish a second HCS Coordinator to perform the trust level for each other.

The section of this document titled *Establishing Trust Level 3 Assurance* includes step-by-step instructions for establishing the TL3 assurance credential for your users. Be sure to share this procedural information with your HCS Coordinator(s).

Assigning CANS-NY Roles

Your organization's HCS Coordinator will take the steps necessary to assign a CANS-NY role to each user's HCS account in your organization that require access to the UAS-NY. Step-by-step instructions for assigning roles is presented in the section titled *Assigning CANS-NY Roles*. *Be sure to take care when assigning CANS-NY roles to your staff.* In most cases, your organization's HCS Coordinator will assign CANS-NY roles only to staff employed by your organization.

The HCS is designed with considerable flexibility where role assignment is concerned. It will be valuable for you and your HCS Coordinator to understand some nuances of how role assignment works in the HCS.

Support Your Users

Many of your staff may have little or no experience accessing or using the HCS. While training materials are available within the HCS to support your users, you should be prepared to provide additional support or training as needed.

The reference section *Accessing the HCS and the UAS-NY Application* provides step-by-step procedures for accessing the UAS-NY application within the HCS. You should give copies of this one-page reference to your users. This reference will help staff become familiar and comfortable with the HCS. In addition, this reference points staff to available HCS training resources.

PROCEDURAL AND REFERENCE MATERIALS

This section of this guide provides you with step-by-step procedures for select processes related to using the HCS, and detailed reference materials.

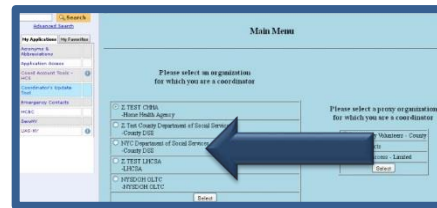
Resource Name	Description
Establishing Trust Level 3 Assurance	Step-by-step instructions for establishing HCS user account Trust Level 3 Assurance.
Managing CANS-NY Role Assignments	Step-by-step instructions for managing and assigning CANS-NY roles in the HCS.
Accessing the UAS-NY	Step-by-step instructions to access the UAS-NY web-based application.
UAS-NY Training Environment	Special notes about working in the UAS-NY Training Environment.
Information Technology Specifications	Technical information to support your Information Technology staff.
CANS-NY Role Specifications Detail	More detailed specification of the CANS-NY role definitions.

Establishing Trust Level 3 Assurance

The following procedure will establish Trust Level 3 Assurance credentials on an HCS user account. This is required for users to access the UAS-NY application. You must be an **HCS Coordinator** or you will not have access to the tool used in the following procedure.

A person may be affiliated with multiple organizations in the HCS, but only one organization will serve as the user's primary organization. If the user's HCS account is primary to your organization, follow the steps below.

- Click on the Coordinator's Update Tool in My Applications.



- Choose the organization that you wish to manage and then click on the "select" button.

- Click on the "Manage People" tab. A list of HCS users within your organization will display.



- Click on the person's name for the account you will establish Trust Level 3 assurance. Information for the selected user will be displayed.



- Click on the "Verify Trust Level" tab.



- Review the photo on the New York State identification and confirm that it matches the person who has presented it to you.
- Enter the requested information from the New York State identification card (NYS Driver's License or Non-Driver ID) exactly as it appears on the card.

Note: The person's name as specified in their HCS user account must match *exactly* the name as specified on their New York State identification card. If it does not, the validation will fail; see **Potential Errors** for corrective action.

- Once information is entered, click the check box to confirm that you have seen New York State Identification and confirmed that the photograph matches the person who presented it to you and whose identity you are about to validate.
- Select “Submit.”

By selecting Submit, the HCS will match the information from the user's HCS account with the information presented from the identification card and validate the information with the New York State Department of Motor Vehicles.

- When the identification is confirmed, you will receive a message indicating Trust Level 3 assurance has been established.

The number “3” will now appear after the person's name.

*Note: If the user's HCS account is not primary to your organization, call the UAS-NY Support Desk for instruction on how to provision Trust Level 3 in this circumstance.

Potential Errors

Below are some potential issues that you may encounter.

Issue	Possible Resolution
Identification is not confirmed by NYS DMV.	Ensure that you entered the information accurately into the system.
Name in HCS does not match NYS Identification.	<p>If the person's name is not correctly specified in their HCS account, the person must contact CAMU at 866-529-1890, option 1 to correct their HCS account.</p> <p>If the person's name is not correctly specified on their NYS identification card, the person must contact NYS DMV to correct their information.</p>
Person does not have a valid NYS Identification.	The person must contact NYS DMV to secure a valid identification card.
Person's name does not display in the Managed People list of users.	<p>Check to ensure the person has a valid HCS account.</p> <p>Determine the person's primary organization. If your organization is not the person's primary organization, the user will either have to contact CAMU to request a change of primary organization or the HCS Coordinator may call the UAS-NY Support Desk to learn how to provision TL3 under this particular circumstance.</p>

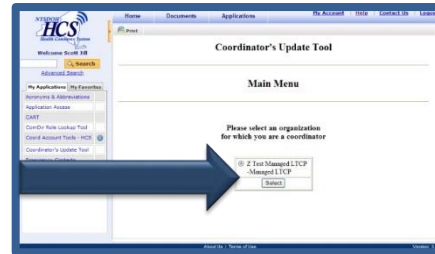
Assigning CANS-NY Roles

To provision CANS-NY roles, you must be an **HCS Coordinator**. This will give you access to the Coordinator’s Update Tool in the Health Commerce System.

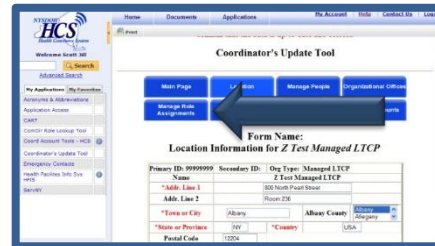
- Log-in to the HCS and click on the Coordinator’s Update Tool in My Applications.

- Choose the organization that you wish to manage and then click on the “select” button.

Note: You may be the HCS Coordinator for multiple organizations in the HCS. If this is the case, be sure you select the correct organization before assigning CANS-NY roles. Assigning a CANS-NY role to the wrong organization will impact staff access to case files and compromise your organization’s reporting ability.



- Click on the “Manage Role Assignment” tab. A list of roles will display.



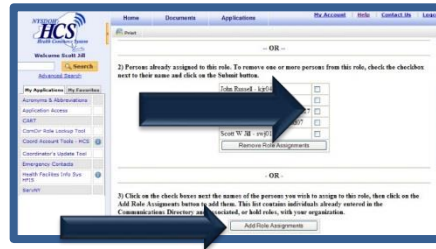
- Click “Modify” next to the role you want to assign to a user.

The Role Information for the selected role will be displayed.



- Check the box next to each user to whom you want to assign the selected CANS-NY role, and then click on “Add Role Assignment.”

Note: Before assigning a CANS-NY role, you must ensure that the access and authority granted for the role is consistent and appropriate for the staff person.



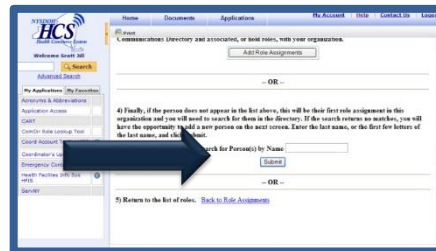
- If the user to whom you want to assign the role is not on the list (presented above), use the search box to find them in the directory. Once the list of names is displayed, highlight the name of the person you would like to add to the role and click on “Add Role Assignments.”

When the list of users is displayed, accounts that are not active have an NA after them. Do not assign roles to these accounts.

Note: Searching the directory will enable you to locate any person who has an HCS account, not just persons who work for your organization. Review the section titled [Assigning CANS-NY Roles](#) to ensure you understand the implications of doing this.

If the user to whom you want to assign the role is not on the list, the user does not have a HCS account.

You must create an account for them before they can be assigned to a CANS-NY role.



Accessing the HCS and the UAS-NY Application

The following instructions explain how users access the HCS and the UAS-NY application.

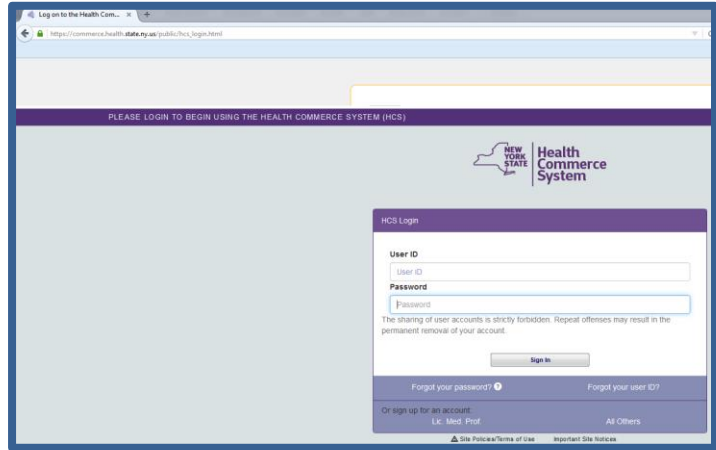
Individual HCS accounts are required for all users to access the UAS-NY. If you do not have an HCS account, please contact your organization’s HCS Coordinator, who will assist you in the process of creating an account.

- Open up your internet browser and in the URL, field enter:

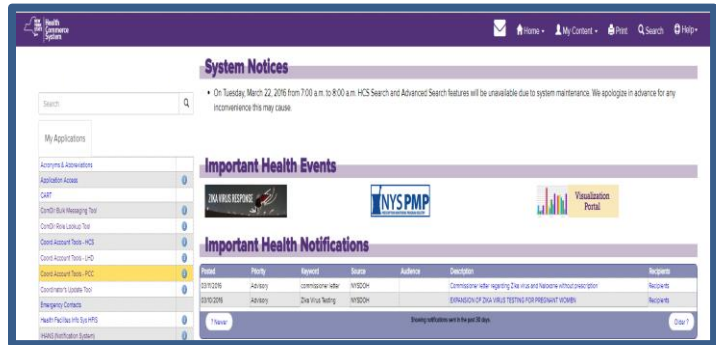
<https://commerce.health.state.ny.us>

This will bring you to the login page.

Note: [https](https://)

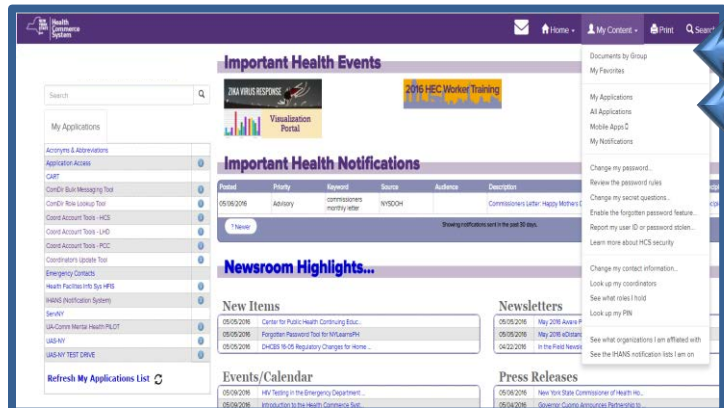


- At the login page, enter your HCS username and password. You will be directed to the HCS Portal after logging in.



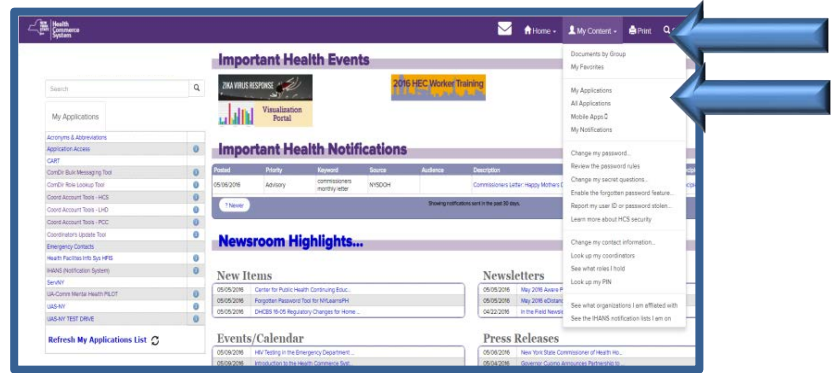
- The HCS Portal provides a variety of resources. To learn about the HCS:

- Select “My Content”
- Select “Documents by Group”
- Select “Getting Started”
- Select “Training”
- Select “HCS Portal My Account Quick Reference Card”

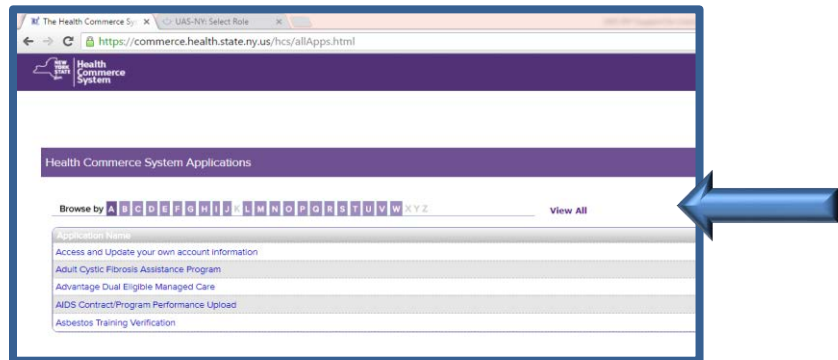


- To access the UAS-NY application, click on the “My Content” drop down.
- Select All Applications

A list of HCS applications will display with an alphabet navigation displayed near the top of the screen.



- Applications starting with the letter A will be displayed. Click on the letter “U”. A list of HCS applications beginning with U will be displayed.
- Click on Uniform Assessment System for New York.



- A separate window will now open up and contain the UAS-NY application.
- The UAS-NY will prompt you with the Organizations/Role Selector page. The organization and roles that you have been assigned are displayed as selections.
- Select your organization and role by clicking on the circle next to the organization and role you wish to use.

Click the Continue button to proceed to the case list window.



The UAS-NY will prompt you with the Organization/Role Confirmation page.

The training courses that are **Required** for the role you selected are displayed on this page.

- Click on the course you wish to take to proceed into the UAS-NY Training Environment and into the course.

Accessing the UAS-NY Training Environment

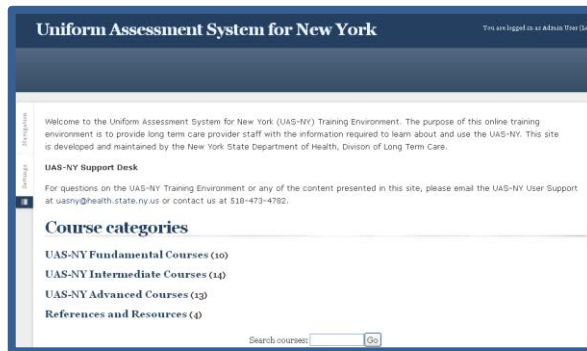
The UAS-NY Training Environment includes a variety of resources to help you learn about and quickly start using the UAS-NY application and assessments. Each course covers a specific topic which enables you to quickly identify what you need to learn, complete the course, and use the UAS-NY. Additional materials are available to help you gain a more in-depth understanding of the UAS-NY. The Training Environment is designed to serve as an ongoing resource.

UAS-NY Course Categories

All of the UAS-NY Training Environment resources are organized by “Course Categories”. The course categories are:

UAS-NY Fundamental Courses

- Select this link to access the “1000 Level” courses which provide you with the basic information needed to begin using the UAS-NY application and CANS-NY assessments.
- The “required” courses are included in this course category.



References and Resources

- Select this link to access additional materials to help you understand and use the UAS-NY.
- This course category includes:
 - User Guides and Implementation Guides
 - Additional Resources for the CANS-NY and HCBS/LOC

Special Notes on the UAS-NY Training Environment

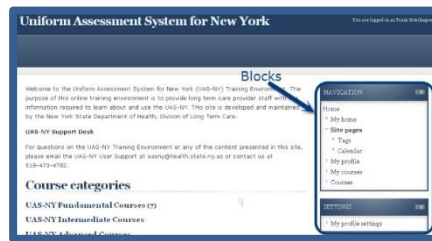
The UAS-NY Training Environment uses Moodle (www.moodle.org) for its Learning Management System (LMS). Like any other LMS, it helps to know certain features to get the most out of the UAS-NY Training Environment. Below are a few quick tips for using the UAS-NY Training Environment.

NOTE: Accessing the UAS-NY Training Environment **via a VPN connection is not supported**. Use of a VPN connection prevents the UAS-NY Training Environment from properly tracking a user's training course completions and can prevent users from satisfying their training requirements.

Maximizing the Screen

- The LMS uses “blocks” to support certain features.

We will not use blocks in any of our courses.



To minimize the blocks

- Place your cursor in the upper right-hand portion of the block until the “Move this to dock” message is displayed.
- Click the mouse once to minimize the block.



General Course Design

- Each course includes an introduction, modules and activities. You are encouraged to complete these in the order presented.
- Activities may be basic web pages, videos, links to .pdf files, exercises, and quizzes.
- Video and .pdf files are displayed in “pop-up” windows.
- An exercise is not graded.
- A quiz is graded; you must achieve a minimum score to proceed to subsequent modules or activities.

Recording Completion of a Video or Reading a PDF

To record the completion of a video or the reading of a .pdf file:

- Close the pop-up window.
- Press “F5” on your keyboard to refresh in your browser.
- A check mark (☐) will appear to the right of an activity to mark completion.
- Print .pdf files by using the browser's print function.

Course Enrollment

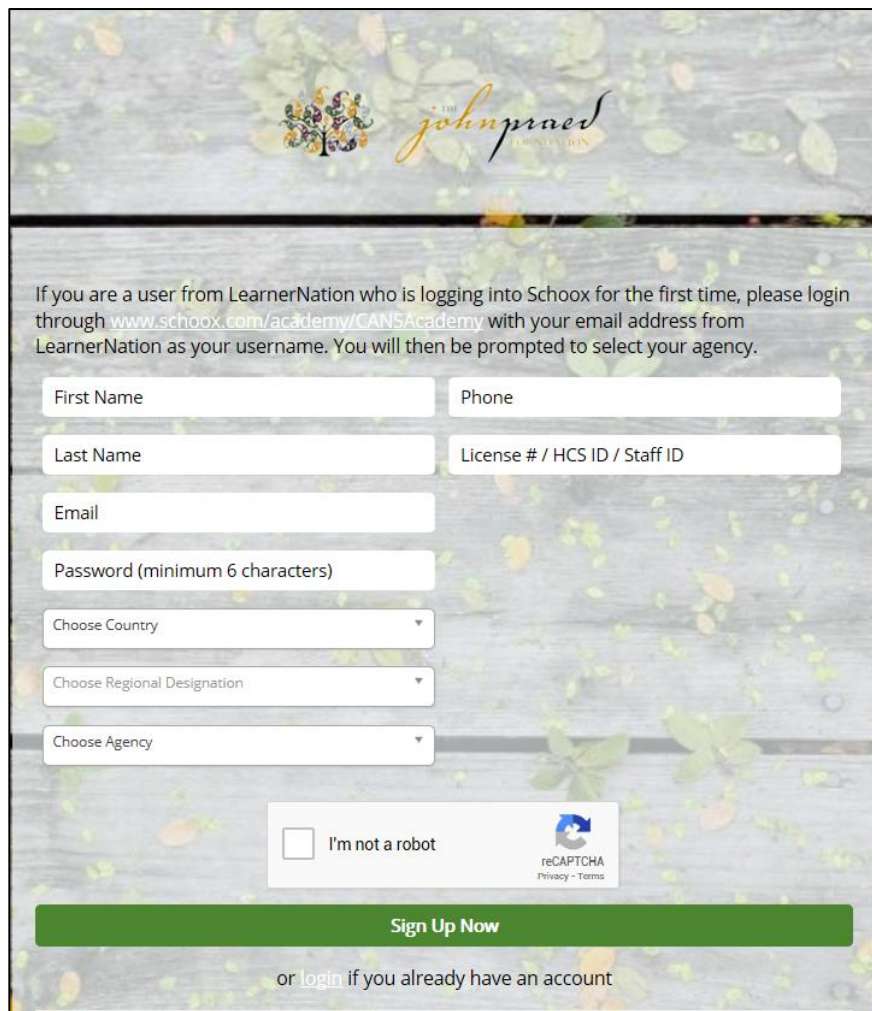
- The UAS-NY will automatically enroll you in courses based on your CANS-NY role.

Registering HCS User IDs in Schoox

In order to accurately transmit certification information to the UAS-NY, new CANS-NY Assessors are required to enter their HCS User ID when registering in Schoox.

Users Registering for the First Time

New users add their HCS User ID to the **License # / HCS ID / Staff ID** field of their Schoox registration process. (See image below).



The image shows a registration form for Schoox. At the top, there is a logo for 'johnpraed' with a tree icon. Below the logo, there is a text instruction: 'If you are a user from LearnerNation who is logging into Schoox for the first time, please login through www.schoox.com/academy/CANSAcademy with your email address from LearnerNation as your username. You will then be prompted to select your agency.'

The form contains the following fields:

- First Name
- Phone
- Last Name
- License # / HCS ID / Staff ID
- Email
- Password (minimum 6 characters)
- Choose Country (dropdown menu)
- Choose Regional Designation (dropdown menu)
- Choose Agency (dropdown menu)

At the bottom of the form, there is a checkbox labeled 'I'm not a robot' next to a reCAPTCHA logo. Below the checkbox is a green button labeled 'Sign Up Now'. Underneath the button, it says 'or login if you already have an account'.

Existing Users Updating HCS User ID

If you are currently registered in Schoox and your HCS User ID changes, you must contact the UAS-NY Support Desk to have your HCS User ID updated to your profile.

Information Technology Specifications

This information is intended to be used by IT staff responsible for preparing your organization's technical infrastructure for the UAS-NY. This document presents the technical requirements for accessing and using the UAS-NY application.

UAS-NY Applications

The UAS-NY may be accessed by logging into the Health Commerce System and starting the UAS-NY. This is a web-based application and requires internet connectivity.

To adequately support your organization's users, you will need to understand the technical implications related to this type of access.

Health Commerce System (HCS)

The HCS is the New York State Department of Health's (NYSDOH) web portal; this is the first point of entry for access to the UAS-NY.

The URL for this secure web portal is: <https://commerce.health.state.ny.us>.

Individual HCS accounts are required for all users who will access the UAS-NY. These accounts are established and maintained by your organization's HCS Coordinator in conjunction with NYS DOH.

UAS-NY Online Application

Users who access the UAS-NY online application require no special security measures beyond HCS and UAS-NY access protocols and your organization's policies regarding access to HIPAA and HITECH protected data.

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

UAS-NY Online Application Technical Requirements				
Hardware Specifications	Operating Systems	Supported Browsers	Settings	Software Requirements
Minimum hardware requirement to run the operating system Internet connection 1024 x 768 screen resolution (<i>min</i>) Speakers and/or headphones	MS Windows Vista MS Windows 7 MS Windows 8MS Windows 10	Internet Explorer 11 Microsoft Edge Firefox (latest) Chrome (latest)	128-bit encryption (minimum) Browser set to accept cookies Pop-up blocker disabled JavaScript enabled Disable VPN while accessing Training Environment	Java version 6 Java version 7 Adobe Flash Player Adobe Reader Windows Media Player

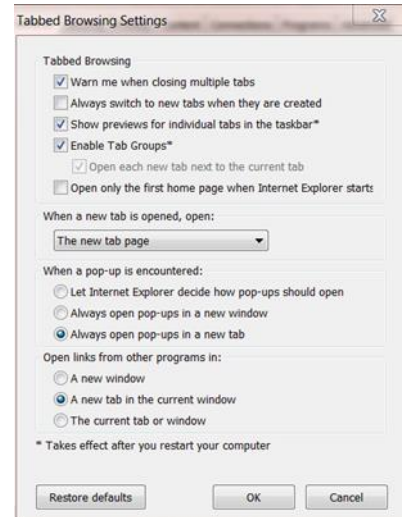
Internet Connectivity and Browser Settings

For **Internet Explorer** users, set the following tabbed browsing settings

- “Always open pop-ups in a new tab.”
- “Open links from other programs in a new tab in the current window.”

For **Mozilla Firefox** users, set the following tabbed browsing settings:

- “Open new windows in a new tab instead.”



Network and Firewall Settings:

- The UAS-NY application uses an https protocol, which is handled by Port XXX. Ensure that Port XXX is open for inbound and outbound traffic.

Supported Technologies and Devices

This section clarifies the use of tablets with the UAS-NY application in the context of supported technologies and devices. For purposes of clarification, "tablet" is a term being used to refer to non-traditional portable computer devices (i.e. not traditional laptop computers) that use either iOS or Android operating systems, can be used over WIFI or cellular data networks, and typically have only a touch-screen display. For example: iPad, Google Nexus, etc.

In the spring of 2012, the UAS-NY Project Team conducted an analysis of the viability of using a tablet to access and use the online UAS-NY application to conduct assessments. The analysis was conducted using the Safari browser on an iPad 2. The UAS-NY was found to work satisfactorily with the Safari browser on an iPad 2 with the following exceptions:

- right mouse-click functionality was not available,
- minor display issue when switching to landscape mode,
- imprecise touch area,
- minor .pdf output formatting on reports, and
- touching the "home" button left the user logged into the HCS portal (i.e. the user remained logged into the HCS portal, which is a potential security risk).

At the time this analysis was conducted, the iPad was the only tablet available on the market. Since the time of this analysis, the tablet technology market has seen:

- the inclusion of Android-based tablets,
- an increase in the variety of tablet sizes (7", 8", 9"), and
- an increase in the variety of available browsers across both iOS and Android devices.

Tablet Support Statement

The continued volatility of this new technology environment makes it impossible for the DOH to verify and support the growing range of all possible tablets.

While the UAS-NY application may work with any given tablet, the DOH will not provide phone or other support related to functionality failures on these devices. Should you choose to attempt to use a tablet, please be aware of this support limitation, and also ensure adherence to the published technology specifications for the UAS-NY:

- 1024 x 768 minimum screen resolution,
- 128-bit encryption (minimum) on the browser,
- browser set to accept cookies,
- pop-up blocker disabled, and
- JavaScript enabled.

CANS-NY Role Specifications Detail

UAS-NY Functional Capability	CANS-NY-15 Admin	CANS-NY-40 Assessor	CANS-NY-50 Supervisor	CANS-NY-60 ASSESSOR READ ONLY
Edit or <i>View</i> a person’s demographic information.	Edit	Edit	Edit	<i>view</i>
Search your organization’s case list based on only a single field of data (e.g. last name).	-	-	✓	-
Conduct a search of the statewide database.	✓	✓	✓	-
Attest on behalf of your organization to access a case file and add it to your organization’s case list.	✓	✓	✓	-
Remove a case file from your organization’s case list.	✓	-	✓	-
Create a new case file record for a person not found in the statewide search.	✓	✓	✓	-
Initiate an assessment or reassessment.	-	✓	-	-
Edit or <i>View</i> assessment information.	<i>view</i>	Edit	<i>view</i>	<i>view</i>
Sign and finalize an assessment as a certified assessor.	-	✓	-	-
Sign as a reviewer or consulting participant on an assessment.	-	-	✓	-
Delete an unfinalized assessment that the user has created.	-	✓	-	-
Delete any unfinalized assessment in your organization’s case list.	-	-	✓	-
Individual Reports.	-	✓	✓	✓
Aggregate Reports.	✓	-	✓	-