



Department
of Health

Children's Waiver Home and Community Based Services STAFF COMPLIANCE TRACKER Within IRAMS

NOTE: Staff Compliance Tracker will be utilized instead of Qualification and Training Tracker

Agenda

- ✓ Overview / Purpose
- ✓ Access to IRAMS and Staff Compliance Tracker
- ✓ Staff Compliance Tracker System Requirements
- ✓ HR/Personnel Staff Tracker Demo

Staff Compliance Tracker – Overview and Purpose



Department
of Health

Office of
Mental Health

Office of Addiction
Services and Supports

Office of Children
and Family Services

Office for People With
Developmental Disabilities

Overview

The New York State Department of Health (DOH) is required to verify provider qualifications, training, and staffing requirements (i.e.; background checks) annually and report this information to the Centers for Medicare and Medicaid Services (CMS), under the terms of the 1915(c) Children's Waiver.

All HCBS Providers, HHCMS, and C-YES who supplied HCBS or care management to Children's Waiver participants are required to report this information to DOH.

In previous waiver years, a survey monkey and excel spreadsheets were utilized with limited return from agencies or clear information. To streamline and help ease this manual process the Staff Compliance Tracker (Previously Called - Qualification and Training Tracker) was developed in Incident Reporting and Management System (IRAMS).

Beginning for Waiver Year 2022-2023, all agencies are required to report this information electronically through IRAMS. The IRAMS Staff Compliance Tracker was launched and available starting on June 19, 2023.

Staff Compliance – Who Should Access?

DOH requested that HCBS providers, HHCMAAs, and C-YES **connect** their Human Resources/Personnel Staff to the Health Commence System (HCS) and the IRAMS by **June 30, 2023**

Requesting only agencies' **Human Resources/Personnel Staff** be given access to the new “Staff Compliance” section within IRAMS

HCBS Providers, HHCMAAs, and C-YES should only provision 2-3 HR/Personnel staff (larger agencies can add additional HR/Personnel staff) to this role provision

Other agency staff should not be provisioned to the Staff Compliance Tracker as this is where all agency staff information will be held

Individual staff should not be entering their individual information, as HR/Personnel Staff should be confirming compliance to staff Qualifications, Background Checks, and Training and entering the information into the new Staff Compliance Tracker

- If agencies have already provisioned additional staff that are not HR/Personnel staff, please remove these staff from the IRAMS Staff Compliance role

Staff Compliance Tracker - Highlights

This new tracker developed in IRAMS gives agencies the ability to edit/complete the following for previous and new staff members:

- Demographic Information
- Employment History
- Clearance Checks with date of completion
- Trainings with date of completion and justification for late completion if applicable
- Services Qualifications based on HCBS Designation List

The new Staff Compliance Tracker was pre-populated with the previous year's information from agencies who provided the information. Human Resources/Personnel Staff must verify the existing information already populated and enter staffing information that is missing no later than **July 31, 2023**.

The Staff Compliance Tracker will be available throughout the year to Human Resources/Personnel Staff to enter information as agency staffing changes and trainings occur.

Each year, NYS DOH will announce deadlines for completion of reporting for the prior waiver period.

Staff Compliance Tracker - Requirements

The Qualifications and Training requirements for both HHCM/C-YES and HCBS providers must provide information applicable to their provider type which may include, but is not limited to, dates of completion for the following requirements:

- **CHRC Criminal Background Check** (CM/HCBS Providers)
- **SCR Eligibility Verification** (CM/HCBS Providers)
- **Staff Exclusion List (SEL) Check** (CM/HCBS Providers)
- **Mandated Reporting Training** (CM/HCBS Providers)
- **Personal Safety/Safety in the Community Training** (CM/HCBS Providers)
- **Trauma-Informed Care Training** (CM/HCBS Providers)
- **Engagement & Outreach Training** (CM)
- **Person-Centered Learning Training** (CM)
- **LGBTQ Issues Training** (CM)
- **Cultural Competency/Awareness Training** (CM)
- **Meeting Facilitation Training** (CM)
- **Plan of Care (POC) Training** (CM)
- **CANS-NY Training/Certification** (CM)
- **Suicide Prevention Training** (HCBS providers)
- **Domestic Violence Signs and Basic Interventions Training** (HCBS Providers)
- **Strength-Based Approaches Training** (HCBS Providers)

Reference for the HCBS Manual for all Requirements - [Children's Home and Community Based Services \(HCBS\) Manual \(ny.gov\)](#)

Staff Compliance Tracker – Access



Department of Health

Office of Mental Health

Office of Addiction Services and Supports

Office of Children and Family Services

Office for People With Developmental Disabilities

1. Health Commerce Connection

HR/Personnel Staff must first obtain access to the Health Commerce System (HCS)

Once the staff have connection to the HCS, they can be provisioned a role in IRAMS, Staff

Compliance Tracker by the agency's IRAMS Gatekeeper.

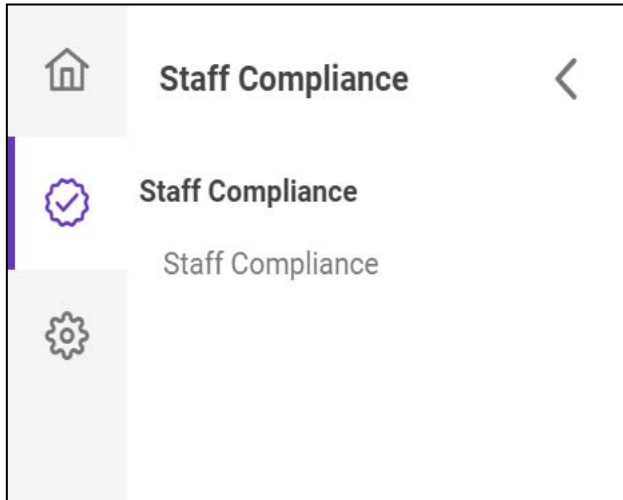
2. HR Personnel Permissions

New permission must be given by the Gatekeeper to their agency's HR/Personnel staff who will be entering staff information. When the Gatekeeper is giving permission to their HR staff with the intent to manage staff compliance and trainings, they should give them permission under "Manage Staff Compliance". View Staff Compliance permissions will be utilized mostly by DOH staff to check/ensure Agency(s) is meeting all requirements set forth in the tracker.

Staff Compliance	Groups/Users
<p><i>Permission</i></p> <p>View Staff Compliance <i>View staff, trainings and compliance</i></p>	<ul style="list-style-type: none"> ⌵ Aaron Roe ⌵ Alison Conneally ⌵ Chantelle Boyce ⌵ Diana Halstead ⌵ Francine Lombardi ⌵ George Brown ⌵ Jodi Munson ⌵ Karen Murphy ⌵ Laquasia Brigman ⌵ Vijay Oruganti
<p>Manage Staff Compliance <i>Manage staff, trainings and compliance</i></p> <p><i>*Includes the View Staff Compliance permission.</i></p>	<ul style="list-style-type: none"> ⌵ Aaron Roe ⌵ Alison Conneally ⌵ Chantelle Boyce ⌵ Diana Halstead ⌵ Francine Lombardi ⌵ George Brown ⌵ Jodi Munson ⌵ Karen Murphy ⌵ Laquasia Brigman ⌵ Vijay Oruganti

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3. System Navigation



Once permission is granted, the HR staff can log in and select Staff Compliance to enter staff information, clearances, and trainings

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Staff Compliance Tracker – Requirements



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3. Add Missing Staff Information for Previous Staff

The screenshot displays a web application interface for managing staff at Abbott House, a Children's Service Provider. At the top, there is a dropdown menu for the agency name and a purple button labeled "Add Staff Member". Below this is a section for "HCBS Agency Information" with a "Click to expand" link. A search bar is present with a filter icon and a search icon. The main area shows a list of staff members, with the first two visible. Each staff member card includes a circular profile picture, a name, a start date, and a status. The first staff member is "AT" with a start date of "07/14/2021 - Present" and a status of "Per Diem". The second staff member is "AP" with a start date of "07/09/2012 - Present" and a status of "Per Diem". Below the name and date, there are three columns: "Clearance Checks", "Trainings", and "Services", each with a count and a status icon. A red box highlights a magnifying glass icon next to the name of the second staff member, "AP".


If your agency provided Staff Qualifications on an excel spreadsheet prior to 2023 the staff will be preloaded. Agencies will need to access each staff members record and add any information that is missing by clicking on the magnifying glass.

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4. Filters

The screenshot displays the staff management interface for Abbott House, a Children's Service Provider. At the top, there is a dropdown menu for the agency name and an "Add Staff Member" button. Below this is a section for "HCBS Agency Information" with a "Click to expand" link. A search bar for staff is present, followed by a filter section containing a toggle switch (currently turned on), a warning icon, and another toggle switch. A red box highlights the filter section, with a red arrow pointing to the explanatory text on the right. Below the search and filter area, there is a pagination control showing "Showing 1 to 20 of 39" and a dropdown for the number of items per page (set to 20). The main content area displays two staff cards. The first card is for staff member "AT", with a start date of 07/14/2021 and a "Per Diem" status. It shows 3/3 completed clearance checks, 6/6 trainings (with one pending), and 1 service. The second card is for staff member "AP", with a start date of 07/09/2012 and a "Per Diem" status. It shows 3/3 completed clearance checks, 6/6 trainings (with one pending), and 0 services. Both cards have a search icon and a trash icon.

Agencies can use the toggle to filter by previously listed staff. Turning off the filter will remove previous staff that were automatically uploaded to the system.

Agencies can also use the toggle next to the  icon to filter by staff with remaining/pending clearance checks, trainings, and services that have yet to be completed.

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5. Alerts for Completion

Abbott House
Children's Service Provider

HCBS Agency Information (Click to expand)

Search staff

Showing 1 to 20 of 39

Name	Clearance Checks	Trainings	Services
AT 07/14/2021 - Present Per Diem	3/3	6/6	1
AP 07/09/2012 - Present Per Diem	3/3	6/6	0

Caregiver Family Support and Services

Icon alerts for Clearance Checks, Trainings, and Services will be included below each. Each check will indicate how many clearance checks, trainings, or services have been completed, pending, or incomplete.

Key:

- Pending
- Completed
- Incomplete Alert

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6. Add HCBS Agency Information

HCBS Agency Information *(Click to expand)*



HCBS Agency Information *(Click to expand)*



DOH Licensed / Certified



OCFS Volunteer Foster
Care Agency Licensed



OMH Licensed



OASAS Certified



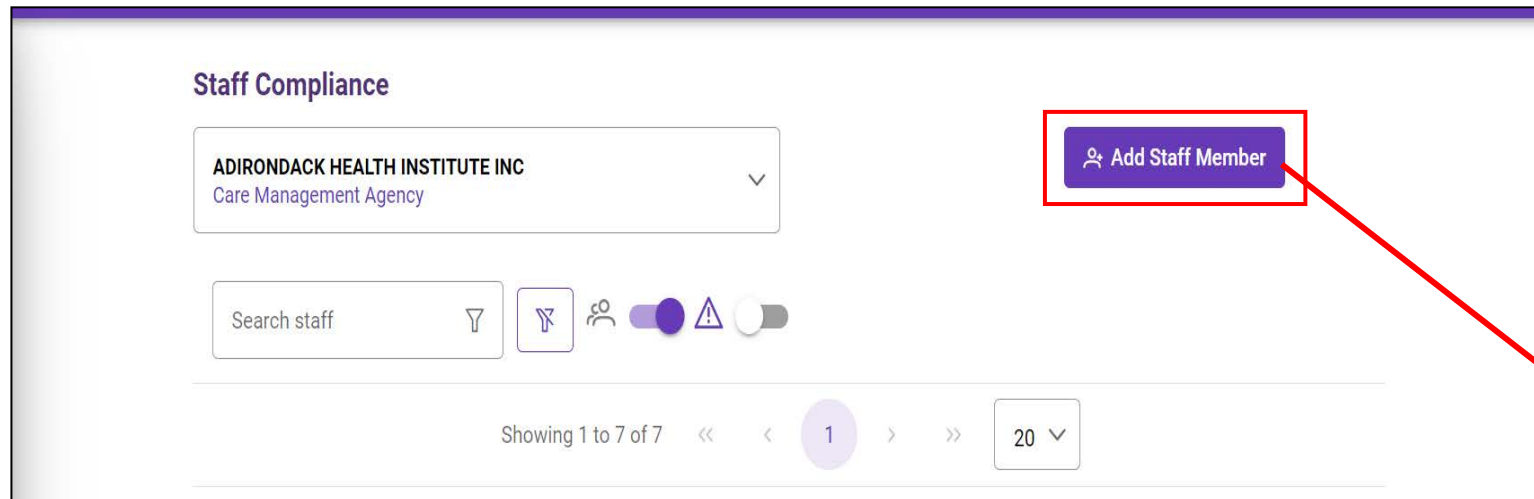
OPWDD Certified



Expanding the 'HCBS Agency Information' Dropdown allows Agencies to indicate if they are licensed and certified by State Agencies using the toggle.

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7. Add Information for New Staff



If an agency has new staff, they will need to add Staff Member by clicking on the button titled 'Add Staff Member' and record and add any information that is relevant to each staff member.

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8. Demographic Information for New Staff

Staff Detail ×

First Name* Last Name* Date of Birth* HCS ID

Employment History Clearance Checks Trainings Services

07/14/2021 - Present
Per Diem

New staff demographic information including name, date of birth, HCS ID (if applicable), and employment history need to be added. In order to save new staff member Date of Birth is required.

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9. Employment Information

The screenshot displays the 'Staff Detail' form with the following fields:

- First Name***: Abyssinia
- Last Name***: Thornton
- Date of Birth***: mm/dd/yyyy
- HCS ID**: [Empty]
- Save Staff Member** button

Below the main form are tabs for **Employment History**, **Clearance Checks**, **Trainings**, and **Services**. The **Add Employment** button is highlighted with a red box and a red arrow pointing to the 'Employment' modal form.

The **Employment** modal form contains the following fields:

- Hire Date/First Day in Role***: 07/14/2021
- Last Employment Date**: Only non-active staff (mm/dd/yyyy)
- Staff Type***: Select Staff Type (dropdown menu)
- Employment Type***: Per Diem (dropdown menu)
- Save Employment** and **Cancel** buttons

When editing or adding a staff member's information, Agencies will have the ability to add employment information by clicking 'Add Employment'.

It is important to note that Clearance Checks, Trainings, and Services tabs will not be able to be completed until Employment information has been added into the system.

10. Adding Clearance Checks

Staff Detail ✕

First Name* A Last Name* Aa Date of Birth* 01/01/1972 HCS ID * AA [Edit Staff](#)

Employment History **Clearance Checks** 2 Trainings 6 Services

Criminal History Records Check (CHRC) ✉ Add

Fingerprint-based, FBI checks that cover all unsuppressed criminal history records from NYS DCJS and a national check from the FBI.

Staff Exclusion List (SEL) Check ✉ Add

The Justice Center conducts an SEL check prior to hiring anyone who would have regular contact with an individual receiving services.

Statewide Central Register (SCR) Check ✉ Add

The New York State Office of Children and Family Services conducts a check for existence of any reports of child abuse/maltreatment against an applicant prior to employment.

✕ Close

Add Clearance ✕

Add a Clearance date for **Staff Exclusion List (SEL) Check**

Clearance Date*

06/01/2023 🗑

Add Clearance ✕ Cancel

For Clearance Checks that need to be added Agencies should click the 'Add' button next to each type of clearance check that needs to be confirmed. The date clearance checks were completed should be added under 'Clearance Date'. The 'Add Clearance' button will add the Clearance Check into the system.

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11. Title 8 Exemption for Clearance Checks

Criminal History Records Check (CHRC) ☑ Add

Fingerprint-based, FBI checks that cover all unsuppressed criminal history records from NYS DCJS and a national check from the FBI.

Staff that are licensed under Title 8 of the NYS Education Law are exempt from CHRC if they are operating within their title.

Title 8 Exemption

The Title 8 Exemption toggle should only be turned on for staff that are licensed under Title 8 of the NYS Education Law and are operating within their title to be considered exempt from the Criminal History Records Check (CHRC).

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12. Add Training(s) Information

The screenshot shows the 'Staff Detail' page for a staff member with the following information:

First Name*	Last Name*	Date of Birth*	HCS ID *
A	Aa	01/01/1972	AA

The 'Trainings' tab is active, showing three training categories:

- Mandated Reporter** (Add button)
- Cultural Competency/Awareness** (Add button highlighted with a red box and arrow)
- Engagement & Outreach** (Add button)

The 'Add Training' modal is open, showing the following details:

Add Training

Add a Training date for **Cultural Competency/Awareness**

Must be between **01/01/2022** and **06/14/2023**

Training Date*

01/01/2022

Add Training (button) **Cancel** (button)

The date the training was completed must be entered into the system. To add completion dates of all required trainings, click the 'Add' button. Enter the completion date under "Training Date". Trainings that still need to be added/completed will appear in red text.

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14. Add Training(s) Information

Staff Detail

First Name* A Last Name* Aa Date of Birth* 01/01/1972 HCS ID * AA [Edit Staff](#)

Employment History Clearance Checks **2** **Trainings 8** Services

△ Mandated Reporter [Add](#)

To provide the learner with the knowledge to make an informed decision about whether a situation involves child abuse or maltreatment, what the reporting obligation is, and how to go about making such a report.

△ Cultural Competency/Awareness [Add](#)

Describe benefits of practicing cultural competency, how to adapt services provided to meet diverse cultural and linguistic needs.

△ Engagement & Outreach [Add](#)

Motivational interviewing

[Close](#)

Add Training ×

Add a Training date for **Cultural Competency/Awareness**

Must be between 01/01/2022 and 06/14/2023

Training Date*

01/01/2023 🗑️

Late Reason

Select Late Reason ▼

This field is required.

Late Explanation

This field is required.

Add Training
Cancel

If the completion of the Training is indicated as late in the system a reason must be provided from the drop-down options provided must be chosen as well as a narrative explanation.

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13. Add Training(s) Information

Staff Detail

First Name* A Last Name* Aa Date of Birth* 01/01/1972 HCS ID * AA Edit Staff

Employment History Clearance Checks 2 Trainings 8 Services

⚠ Mandated Reporter Add

To provide the learner with the knowledge to make an informed decision about whether a situation involves child abuse or maltreatment, what the reporting obligation is, and how to go about making such a report.

⚠ Cultural Competency/Awareness Add

Describe the benefits of practicing cultural competency, how to adapt services provided to meet diverse cultural and linguistic needs.

⚠ Engagement & Outreach Add

Motivational interviewing

Close

⚠ Mandated Reporter

Add

To provide the learner with the knowledge to make an informed decision about whether a situation involves child abuse or maltreatment, what the reporting obligation is, and how to go about making such a report.

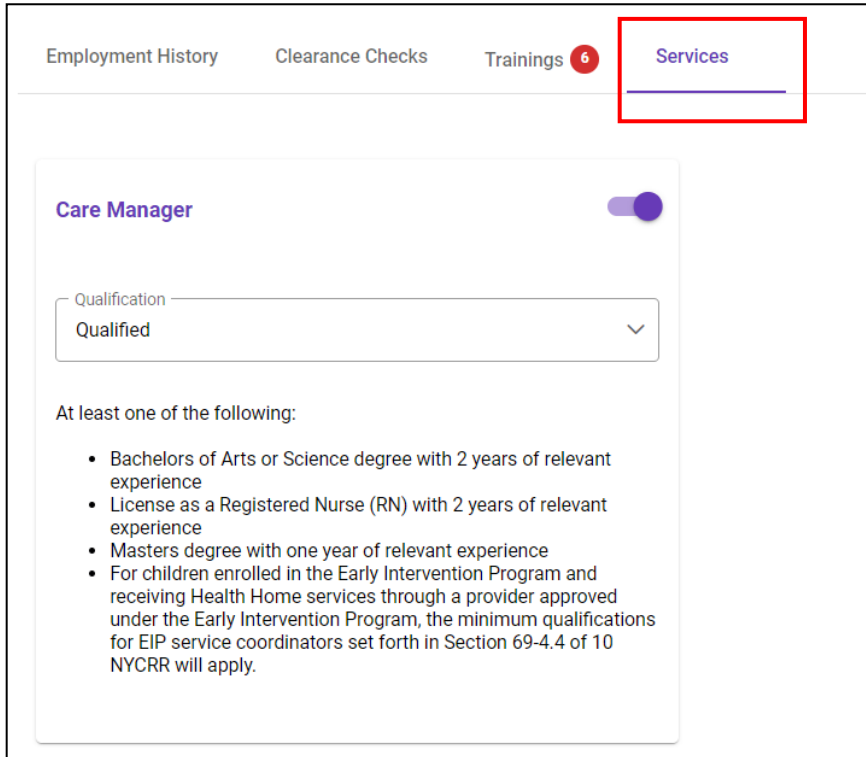
⚠ This training is required prior to adding services.

All clearance checks and the Mandated Reporter Training must be completed before an Agency is able to access the Services Tab.

- OCFS Mandated Reporter Training can only be taken once a year – If a new employee has verified this has already been completed, then the date completed should be entered, which will be prior to the hire date but no more than 1 year.

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15. Add Service Qualification Information



Employment History Clearance Checks Trainings **6** **Services**

Care Manager

Qualification
Qualified

At least one of the following:

- Bachelors of Arts or Science degree with 2 years of relevant experience
- License as a Registered Nurse (RN) with 2 years of relevant experience
- Masters degree with one year of relevant experience
- For children enrolled in the Early Intervention Program and receiving Health Home services through a provider approved under the Early Intervention Program, the minimum qualifications for EIP service coordinators set forth in Section 69-4.4 of 10 NYCRR will apply.

Under the 'Services' tab you will use the toggle switch to indicate what service(s) each staff provides. Move the toggle switch to the right to turn it "On". For each service a staff provides you must choose from the dropdown under "Qualification" what qualifications the staff member has to allow them to provide each service.

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16. Add Service Qualification Information

Caregiver Family Support and Services

Qualification

Individual Staff Qualifications

- **Level 1 *Minimum*:** High school diploma or equivalent with related human service experience
- **Level 1 *Preferred*:** Experience working with children/youth
- **Level 2 *Minimum*:** Bachelor's degree plus two years of related experience
- **Level 2 *Preferred*:** Master's degree in education, or a master's degree in a human services field plus one year of applicable experience.

Supervisor Qualifications

- **Level 1 *Minimum*:** Bachelor's degree with one year of experience in human services working with children/youth
- **Level 1 *Preferred*:** Two years' experience in human services working with children/youth
- **Level 2 *Minimum*:** Master's degree with one year of experience or a bachelor's degree with four years of experience in human services working with children/youth
- **Level 2 *Preferred*:** Master's degree with two years of experience in human services working with children/youth

Community Habilitation

Qualification

Staff Qualifications

- Completion of training stipulated in 14 NYCRR Part 633.8 and the Direct Support Professionals Core Competencies curriculum

Designation ended on 06/05/2023

Agencies have the option to toggle a service on and off as applicable depending on if the staff is qualified to provide each service.

Services that appear under this tab will be based on DOH's HCBS Service Designation list. A message will appear in red if Agency has been de-designated to provide a service past an 18-month period of the previous waiver period.

17. Removal of Services

Caregiver Family Support and Services

Qualification
Level 2 Staff

Individual Staff Qualifications


- Level 1 *Minimum*:** High school diploma or equivalent with related human service experience
- Level 1 *Preferred*:** Experience working with children/youth
- Level 2 *Minimum*:** Bachelor's degree plus two years of related experience
- Level 2 *Preferred*:** Master's degree in education, or a master's degree in a human services field plus one year of applicable experience.

Supervisor Qualifications

- Level 1 *Minimum*:** Bachelor's degree with one year of experience in human services working with children/youth
- Level 1 *Preferred*:** Two years' experience in human services working with children/youth
- Level 2 *Minimum*:** Master's degree with one year of experience or a bachelor's degree with four years of experience in human services working with children/youth
- Level 2 *Preferred*:** Master's degree with two years of experience in human services working with children/youth

Confirm Service Removal ×

Please confirm the removal of the service.

 Only remove services added in error. Services that were provided in the past are still applicable for their employment history.

× No ✓ Yes

Agencies can remove a service that appears under a staff member's 'Service' tab by using the toggle to turn the service off. When selecting to turn a service off, a confirmation of service removal will pop up. Only services that appear **in error** on a staff's record should be removed. Services that were provided in the past are still applicable for their employment history and should remain under the 'Service' tab.

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Questions and Feedback

Contact US:

All Children's Waiver HCBS questions and concerns, should be directed to DOH at

BH.Transition@health.ny.gov mailbox or (518) 473-5569