

INCIDENT REPORTING AND MANAGEMENT SYSTEM (IRAMS) USER GUIDE

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1 IRAMS Purpose and Oversight

The **Incident Reporting and Management System (IRAMS)** is used by Health Homes, Care Management Agencies, Children's Home and Community Based Services (HCBS) Providers, and Children and Youth Evaluation Services (C-YES) to report critical incidents and complaints/grievances as appropriate for the various populations served to ensure the health, safety, and well-being of members. It is everyone's responsibility to report and ensure issues are addressed.

- **Health Homes (HH)** for both Health Homes Serving Adults (HHA) and Health Homes Serving Children (HHSC) have oversight of the Care Management Agencies in their network to ensure appropriate reporting and actions are taken according to Health Home policies and standards.
- **Care Management Agencies (CMAs)** for both Health Homes Serving Adults (HHA) and Health Homes Serving Children (HHSC) will report Critical Incidents and within IRAMS to the lead Health Home (HH). HHSC **will also** report Complaints/Grievances from the member.
- **Children and Youth Evaluation Services (C-YES)** will report Critical Incidents and Complaints/Grievance within IRAMS for children/youth enrolled in the Children's Waiver. Within IRAMS, C-YES reports directly to NYS DOH.
- **Children's Home and Community Based Service (HCBS) Providers** will report Critical Incidents and Complaints/Grievance within IRAMS for children/youth enrolled in the Children's Waiver. Within IRAMS, Children's HCBS Providers report directly to NYS DOH.

IRAMS will take the place of current paper-based processes for HHA and HHSC. The HHs are already required to report critical incidents (per the [Health Home Monitoring: Reportable Incidents Policies and Procedures HH0005](#)) and grievances/complaints (per the [Complaint and Grievance Policy for Health Homes Serving Children HH0013](#)). Additional information, including definitions of the types of incidents and grievances/complaints, can be found in these policies.

Reporting Critical Incidents and Complaints/Grievances are performance requirements of the Children's Waiver. These are new requirements for HCBS providers and C-YES (per [HCBS Provider Reportable Incidents Policies and Procedures CW0004](#) and [Complaint and Grievance Policy for HCBS Providers CW0008](#)). Additional information, including definitions of the types of incidents and grievances/complaints, can be found in these policies.

Due to the increased number of organizations that are required to report critical incidents and complaints/grievances, as well as additionally reporting requirements, IRAMS was developed to be an automated and trackable system.

At this time Medicaid Managed Care Plans (MMCPs) will not be in the IRAMS due to a reporting structure already in place with additional reporting elements.

IRAMS will assist the State with monitoring and oversight as well as data collection for required federal reporting. The system data will be used as part of the re-designation process for HHSC and HHSA. For HHSC, C-YES, and HCBS Providers, the system data will also be used for the annual Children's Waiver case reviews.

This will also enable HHs, CMAs, C-YES, and HCBS providers to also run their own reports and track complaints/grievances and critical incidents within their own organizations and HH network.

2 Responsibilities and Reporting Requirements

2.1 Critical Incidents

Reporting Critical Incidents has been a policy requirement for both Health Homes Serving Children and Adults since 2017. IRAMS will replace the current paper-based process that requires reporting for each incident and quarterly aggregate data reporting. Both HHSC and HHSA will use IRAMS to report critical incidents. Health Homes and Care Management Agencies should maintain internal processes for reporting and monitoring critical incidents based on what works best for their organization and aligns with Health Home Standards.

The **Health Home Care Management Agency (CMA)** must inform the Lead Health Home of a critical incident within 24 hours (or next business day) of notification or discovery (becoming aware of the incident). The Health Home (HH) must inform the Department within 24 hours (or next business day) from the CMA's report. This timeline applies to both HHSC and HHSA.

Please note, that if the Lead Health Home plans to enter Critical Incidents in IRAMS for their network CMAs, then there may be opportunities where the HH will be found out of compliance with the above timeframes due to part of the process being on paper. Additionally, this could impede reporting, tracking, and oversight by the Department, HHs, and CMAs.

The Health Home will provide oversight and direction to the CMA to conclude the critical incident within thirty days (30 days) of receiving the incident report.¹ In IRAMS, *the HH signs off* that appropriate action was taken for critical incidents. The Department will review the incident reported by the HH and make recommendations, if necessary.

HCBS Providers/C-YES must inform the Department of a critical incident within 24 hours (or next business day) of notification or discovery (becoming aware of the incident). HCBS Providers and C-YES should maintain internal processes for reporting and monitoring critical incidents as necessary and in alignment with applicable policies. The Department will review the incident reported by the HCBS Provider/C-YES and make recommendations, if necessary. In IRAMS, DOH signs off that appropriate action was taken for critical incidents by HCBS Providers/C-YES.

Additionally, the HCBS Provider must notify the HHSC Care Manager (CM), C-YES family support coordinator (if applicable), and the Medicaid Managed Care Plan (if

¹ The 30-day resolution is only required if the report is not submitted as final (i.e., not submitted to DOH).

applicable) to ensure the coordination of services, appropriate changes to the Plan of Care if needed, and notification of any changes to the HCBS service plan. If an agency is both a CMA and an children's HCBS provider, the incident should be reported under their CMA line-of-business to ensure HH monitoring and oversight. If both the CMA and the children's HCBS provider submits the same incident, DOH will be able to mark one as a duplicate during the review.

HCBS Providers/C-YES	CMAs	Health Homes	NYS
<ul style="list-style-type: none"> • Submit critical incident or complaint/grievance within 24 hours of discovery date • Take action to ensure safety and wellbeing of the member • Notify the member's HH or C-YES to determine if the POC may need updated • Retain all documentation related to the critical incident or grievance/complaint 	<ul style="list-style-type: none"> • Submit critical incident or complaint/grievance (HHSC only) within 24 hours of discovery date • Take action to ensure safety and wellbeing of the member • Work with HH to resolve issue and implement appropriate actions • Retain all documentation related to the critical incident or grievance/complaint 	<ul style="list-style-type: none"> • Review critical incident and complaint/grievance • Provide assistance to CMA to resolve the issue and implement appropriate actions • Sign-off that appropriate actions were taken by CMA • Submit issue to DOH 	<ul style="list-style-type: none"> • Reviews finalized submissions from HH • Sign-off that appropriate actions were taken by HCBS Provider/C-YES • Coordinate with HH/ C-YES / HCBS Provider on steps toward resolution • Provide technical assistance when indicated • Reports to CMS

2.2 Complaints and Grievances

In the original critical incident reporting policy for Health Homes, complaints and grievance were also included, but then removed in the updated policy. HHSA are no longer required to report complaints and grievances under the updated policy; however, the majority of Health Homes continue to monitor complaints and grievances of members being served.

HCBS Providers, Health Homes Serving Children (only), and C-YES will need to report complaints and grievances for Health Home and Children's Waiver members as outlined in the Children's Waiver and issued policies.

Once a member or the member's representative files a grievance/complaint, the HHCM/C-YES/HCBS Provider enters the issue into IRAMS. The member must be updated within 72 hours of receiving the grievance/complaint as to the status of the of their complaint/grievance. The HHCM/C-YES/HCBS Provider must try to resolve the members complaint/grievance to the member's satisfaction, otherwise, if the member is not satisfied with the resolution, the member can escalate the complaint/grievance their lead Health Home, the Department, the Medicaid Managed Care Plan Complaint line (if applicable), or to the Medicaid Help Line. The entire process from original complaint/grievance report to resolution/escalation **must be completed within 45 days**. The Department will receive all entered grievance/complaint via IRAMS and will review to ensure resolution for the member is satisfactory. IRAMS currently flags

complaints at 30 days to align with critical incident timeline so users will receive a notification that the timeline for resolution is nearing due date for completion.

Collaboration among the service providers of Health Homes, C-YES, HCBS providers, and Medicaid Managed Care Plans should occur whenever possible. The member's services and Plan of Care should be adjusted accordingly to address the issue raised by the member. If an agency is both a CMA and an children's HCBS provider, the complaint/grievance should be reported under their CMA line-of-business to ensure HH monitoring and oversight. If both the CMA and the children's HCBS provider submit the same complaint/grievance, DOH will be able to mark one as a duplicate during the review process.

All members must be told of their rights to file a complaint/grievance, report an incident, and file a Fair Hearing. Members must be provided with the Medicaid Help Line contact information.

3 Who Should Use IRAMS?

3.1 Health Homes/Care Management Agencies

It is the responsibility of the lead Health Home to ensure that issues are addressed and reported within the compliance timeframes as outlined in policy and have internal processes in place for their network CMAs to follow. The lead Health Home can determine if CMAs will enter issues into IRAMS directly or if the lead Health Home will enter issues into IRAMS on behalf of their network CMAs. If lead Health Homes choose *not* to grant access to CMAs, they must inform the Department of their policy to ensure complete and timely reporting.

Each **HH/CMA** should identify 2-3 users who will have access to IRAMS. Larger agencies may identify additional users but not all care managers will require access. These users will enter issues into IRAMS on behalf of their agency.

Note: Each HH/CMA must have policies and processes in place regarding the reporting of critical incidents and complaints/grievance for their staff to follow. The lead Health Home and CMA management should ensure that timely IRAMS reporting is a part of their process and revise internal procedures and/or staff training as needed to meet this requirement.

For agencies that are both CMAs and designated Children's HCBS providers, the agency should consider if it is appropriate to grant IRAMS access to staff that represent both lines of business. If accessing IRAMS as both a CMA and HCBS Provider, the HCS Coordinator will need to enroll the agency as both types of users (see "Accessing the System" below). Granting IRAMS access to administrative staff is permissible.

3.2 Children's HCBS Providers / C-YES

Each **HCBS Provider** and **C-YES** should identify 2-3 users who will have access to IRAMS. These users will enter issues into IRAMS on behalf of their agency; therefore, not all HCBS practitioners/staff or C-YES staff need access.

Note: HCBS providers and C-YES must have policies and processes in place regarding the reporting of critical incidents and complaints/grievance for their staff to follow. Management should ensure that timely IRAMS reporting is a part of their process and revise internal procedures and/or staff training as needed to meet this requirement.

For agencies that are both CMAs and designated Children's HCBS providers, the agency should consider if it is appropriate to grant IRAMS access to staff that represent both lines of business. If accessing IRAMS as both a CMA and HCBS Provider, the HCS Coordinator will need to enroll the agency as both types of users (see "Accessing the System" below). Granting IRAMS access to administrative staff is permissible.

*****IRAMS does not replace Mandated Reporting requirements or reporting required by programs other than Health Home or the Children's Waiver (i.e., Justice Center). For agencies licensed by OMH, for example, reporting via NIMRS may also be required if the member is receiving another service (such as PROS or CFTSS). Issues reported for children/youth enrolled in the Children's Waiver (and not receiving another OMH-licensed service) do not need to be reported via NIMRS.***

4 Accessing the System

IRAMS is accessed through the Health Commerce System (HCS). Users can either search the applications within HCS or navigate to this link: <https://increp.health.ny.gov/>

Each agency/organization's HCS Coordinator is the person who has the responsibility and authority to request and manage HCS accounts and roles for their agency via the Communications Directory. The HCS Coordinator assist users in requesting a valid HCS ID registers with their organization if necessary.

4.1 Browser Compatibility

The IRAMS application is **not compatible** with Microsoft Internet Explorer. IRAMS is compatible with Google Chrome, Microsoft Edge, and Mozilla Firefox.

4.2 Organization Selection

	Org Type	Org Name
<input type="radio"/>	CMA	Abbott House (02996490)
<input type="radio"/>	CMA	Northwell Health (03457054)
<input type="radio"/>	CYES	Children and Youth Evaluation Service
<input type="radio"/>	DOH	Department of Health
<input type="radio"/>	HH	Northwell Health (03457054)
<input type="radio"/>	HH	Urban Family Practice dba Greater Buffalo United Accountable Healthcare Network - GBUAHN (03489287)

Continue

Following the Health Commerce System (HCS) login, the user is presented with an “Organization Select” screen to identify their current organization type **if the user has more than one organization type (line of business) with active permissions**. User roles are determined by and IRAMS gatekeeper, and affect which issues are viewable in the application. In addition, specific features are available or hidden in accordance with the organization type; for example, a Care Management Agency (CMA) may assign an issue to a Health Home but would be unable to assign an issue directly to the Department of Health (DOH).

5 Permissions and Roles Home Screen

The Gatekeeper role function is to grant and revoke permissions to the roles available in the Incident Reporting and Management System (IRAMS). This additional feature provides a level of security for the providers who have access to specific roles. Every agency should have at least one gatekeeper, and the system will not allow you to delete all gatekeepers to prevent your agency from getting locked out of gatekeeper permissions. Based on your role and permissions your home page screen and the functionalities will vary.

Note: If your agency has not yet provided a contact for the gatekeeper role, please do so by using the link to request the gatekeeper role:
<https://incrp.health.ny.gov/#/request-gatekeeper>

5.1 Incident and Reporting Management System Roles Home Screen

With the additional security feature there are two roles available with specific access to each role. The following are the different roles and permission available for the IRAMS

system.

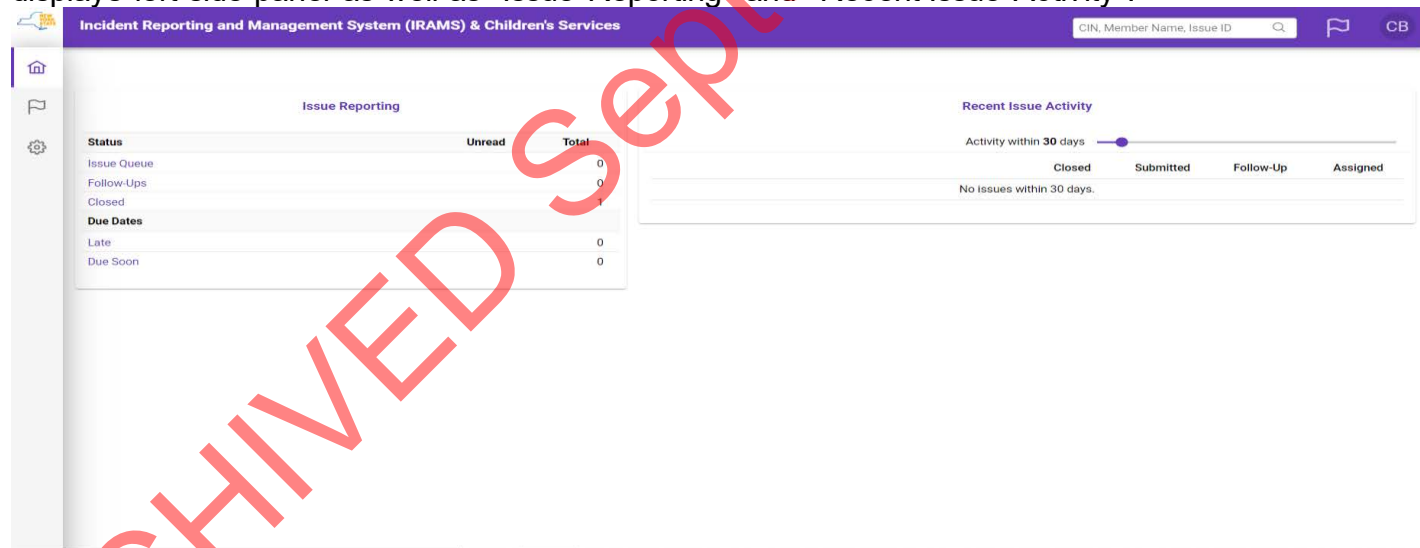
Roles	Permissions
Issue Reporting	View Issues
Issue Reporting	Create and Submit Issues
User Administration	Administer Users

5.2 Issue Reporting Role Home Screen

The Issue Reporting role has two associated roles. Based on the role, your home screen will reflect what you will have access to.

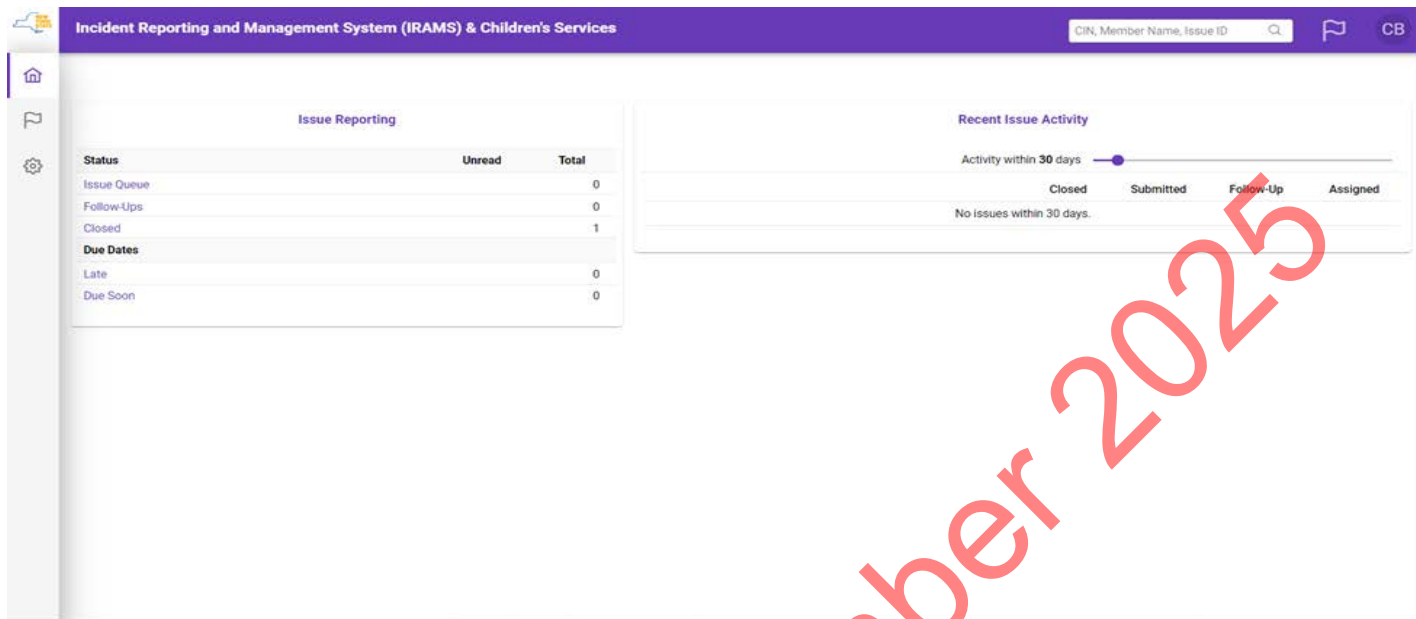
5.2.1 View Issues

The view issue's role is a read only role, with this assigned role your home screen only displays left side panel as well as "Issue Reporting" and "Recent Issue Activity".



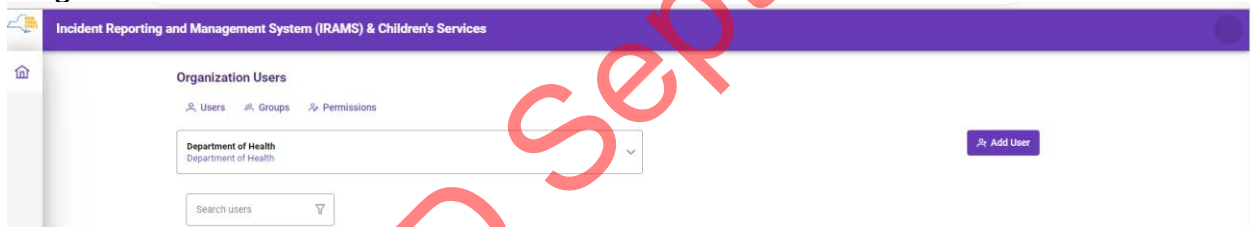
5.2.2 Create and Submit Issues

The create and submit issue's role is an editing role, with this assigned role your home screen only displays left side panel as well as "Issue Reporting" and "Recent Issue Activity".



5.3 User Administration

The User Administration role has one role associated and the home screen displays “Organize User”.

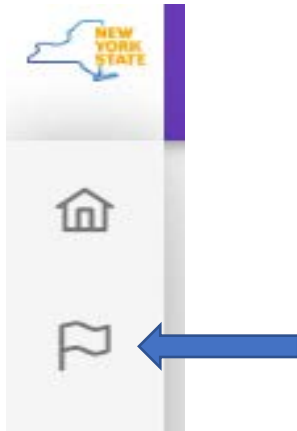


6 Permission and Role Functionalities

The different role and permissions will grant you specific access and usage. Based on your role and permissions you will have the ability to utilize different functionalities. A staff member can have multiple roles and permissions.

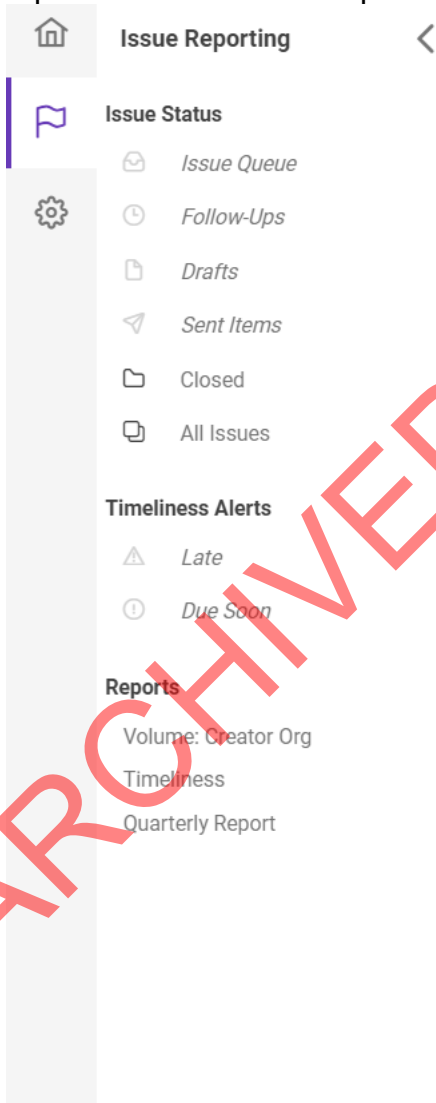
6.1 System Navigation

The systems navigation varies based on your role and permissions. There are specific icons displayed based on your assigned role and permissions. By clicking on the IRAMS (flag) icon your panel will reflect your permissions.



6.2 View Issues Role and Permissions

This role is a read only role you will have the ability to create and/or submit issue reports. The view issues panel displays the Home and Issue Reporting icon.

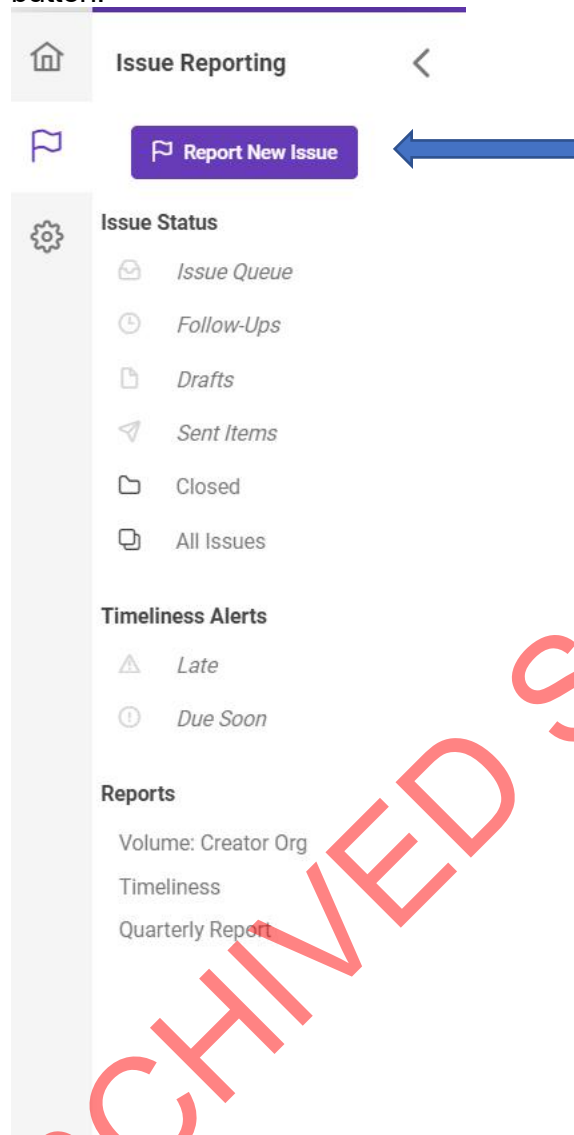


This role allows the capability to read the list of Issue Status, Timeliness Alerts and

Reports. You will not be able to edit any reports, create or submit any reports.

6.3 Create and Submit Issues

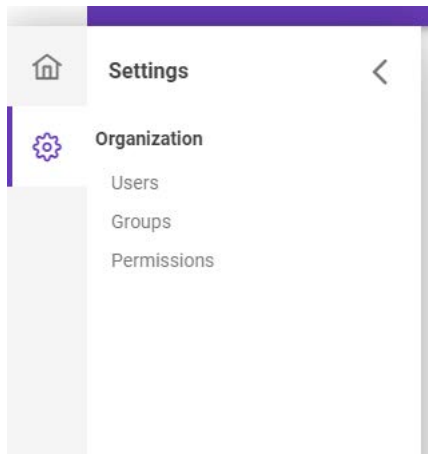
This role allows you to create and submit issues in the Incident and Reporting Management System. The panel for this permission displays the “Report New Issue” button.



This role allows the same permissions as the view issue roles with the addition of the function to create and submit a report.

6.4 User Administer

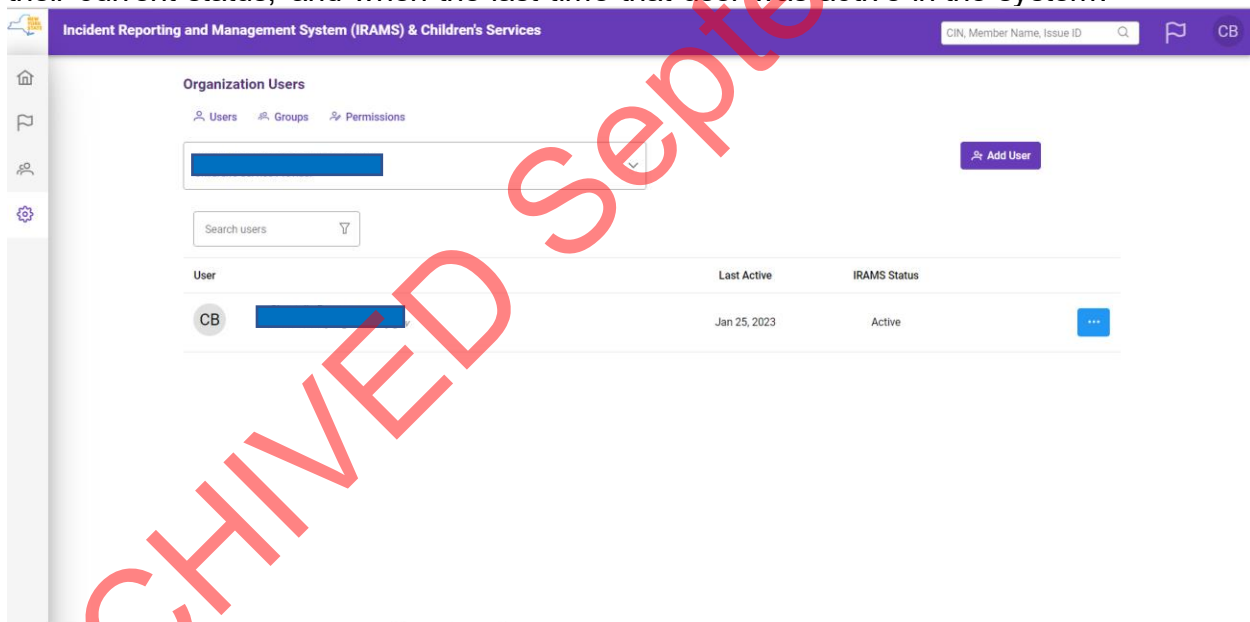
This role allows the gatekeeper to manage users, groups and permissions from staff members based on their roles and tasks responsibilities. By clicking on the settings icon, you will be able to view the Organization tab.



This tab provides the ability to manage the users, groups and permissions associated with your agency.

6.4.1 Managing Users

This feature allows functionality to view and manage the list of users for your agency, their current status, and when the last time that user was active in the system.

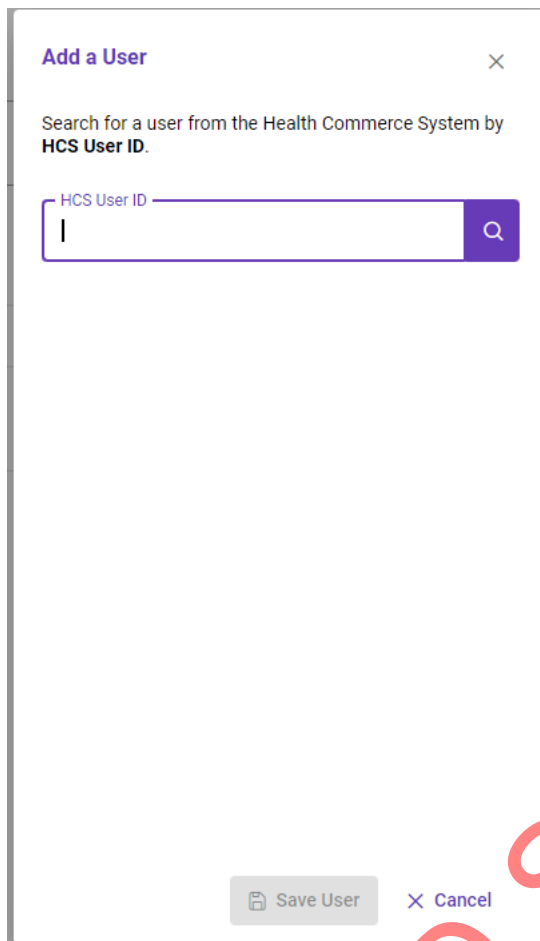


You will have the ability to add users to your agency by clicking the add user button.




Once you have clicked on the button, the following screen will appear. You will search for the user and add them by entering the HCS User ID.



Note: The HCS User ID is their name or short name used to log into HCS.



Add a User ×

Search for a user from the Health Commerce System by
HCS User ID.

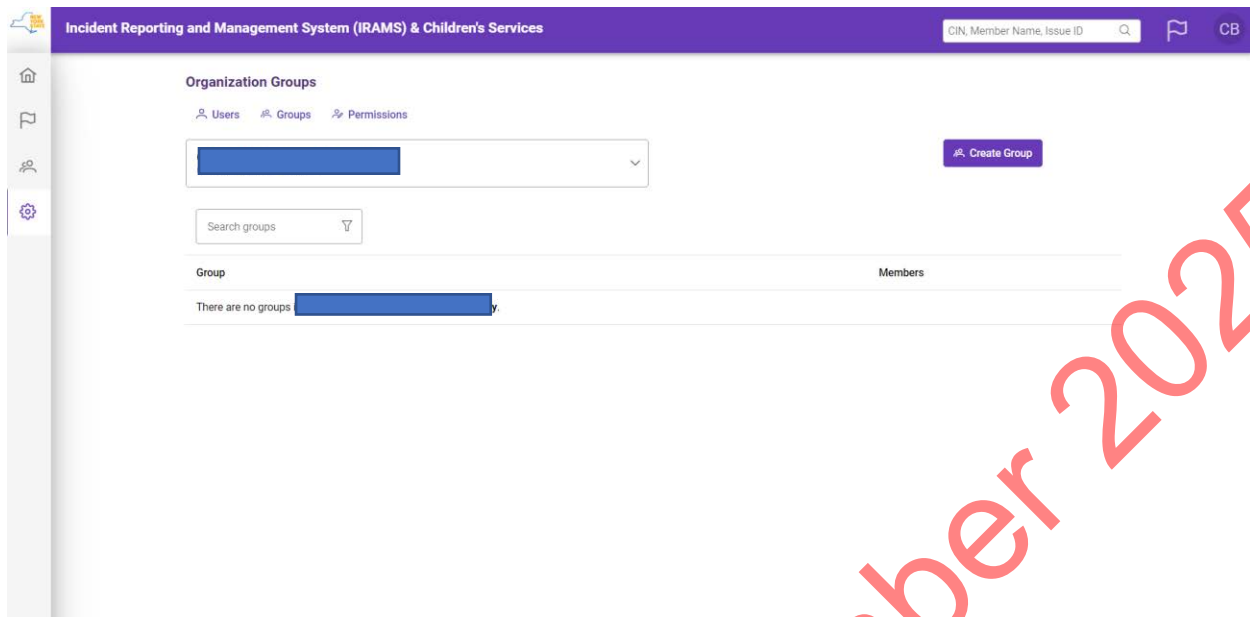
HCS User ID 

 Save User  Cancel

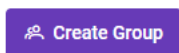
After you have entered the HCS User ID, the “Save User” button will become purple prompting you to save the person as a new user.

6.4.2 Managing Groups

This feature allows the functionality to view and manage the list of groups for your agency, it will display the different groups and which users are in those groups.



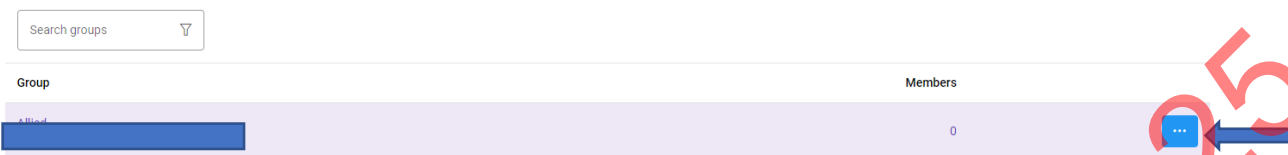
You will be able to create a group.



When you click on the create group button, the screen below will be displayed which will then allow you to create a group.

You will be prompted to enter the description and name of the group you have created.

Once you have created the group it will appear on the organization home screen, and it will display the group name and brief description along with how many members are in the group.



To add a member to the group you will need to click on the blue box with the three white buttons then the screen below will display.

Managing users for the Allied Group

Select any active users from **Child and Family Services of Erie County** to add to the **Allied** group.

A screenshot of a dialog box titled 'Managing users for the Allied Group'. It contains a search bar labeled 'Search users' with a filter icon. Below the search bar is a list of users. The first user is highlighted in light purple. To the right of the list is a button labeled 'Add Users' with a person icon. A blue arrow points to the 'Add Users' button.

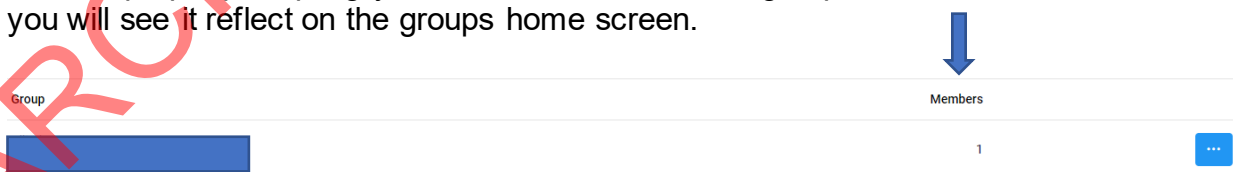
You will then click on the drop-down box and choose a name from the list of users associated with your agency.

Managing users for the Allied Group

Select any active users from **Child and Family Services of Erie County** to add to the **Allied** group.

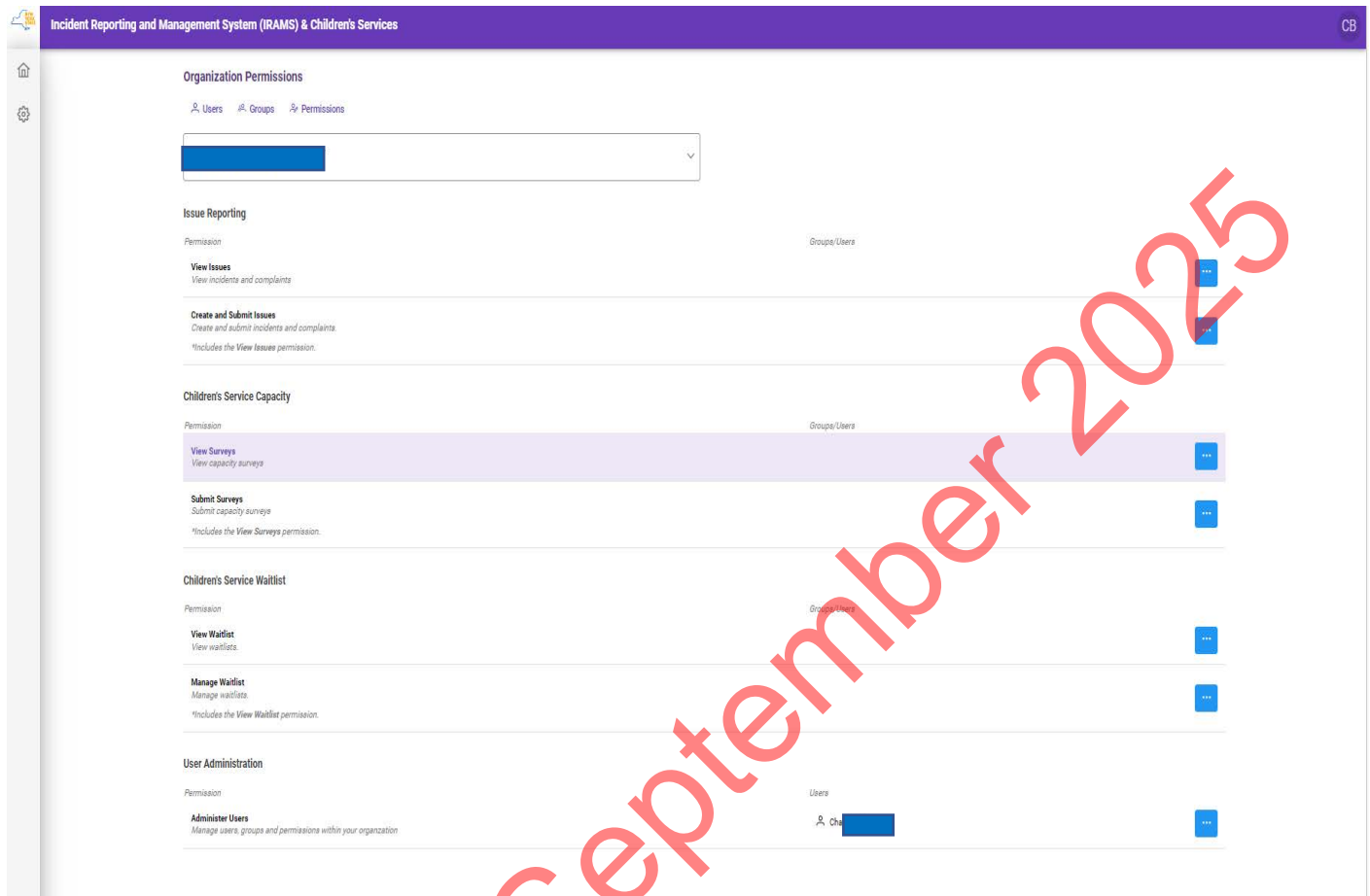
A screenshot of the same dialog box as before, but now a user is selected in the list. The user's name is partially visible. The 'Add Users' button is now purple. A blue arrow points to the purple button.

Once you click the button on the right-hand side of the selected user the add user box will turn purple prompting you to save the user to the group. When the member is saved you will see it reflect on the groups home screen.



6.4.3 Managing Permissions

This feature allows the functionality to view and manage the list of permissions for your agency, it will display the types of permissions and roles available.



You will be able to see the groups and users associated with each role and their permissions.

Issue Reporting

Permission

View Issues

View incidents and complaints

Create and Submit Issues

Create and submit incidents and complaints.

*Includes the View Issues permission.

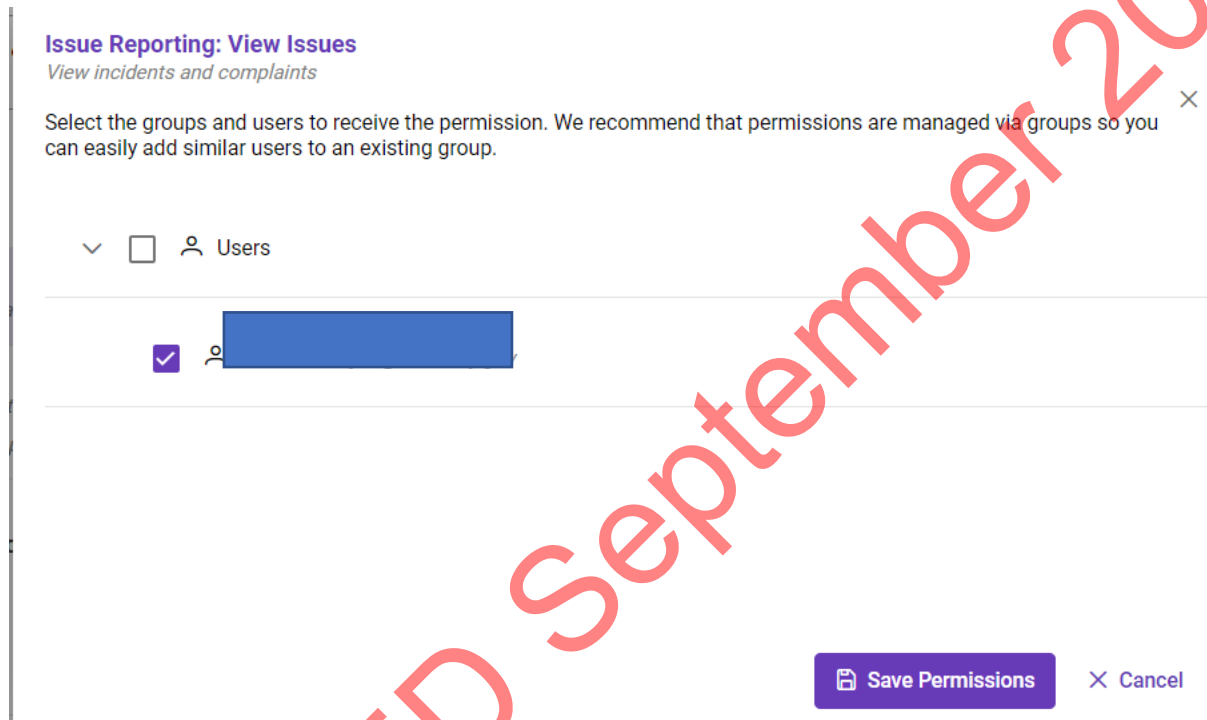
Groups/Users

6.5 Removing Permissions

This feature allows the user admin to remove permissions from users. By clicking on the blue box with the three white dots a sub box will display. You will be able to edit permissions or view the list of users.



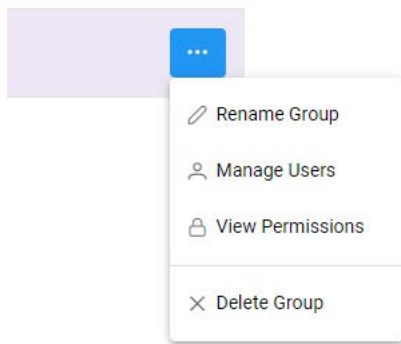
Once you have clicked on the edit permissions you will be presented with the following screen.



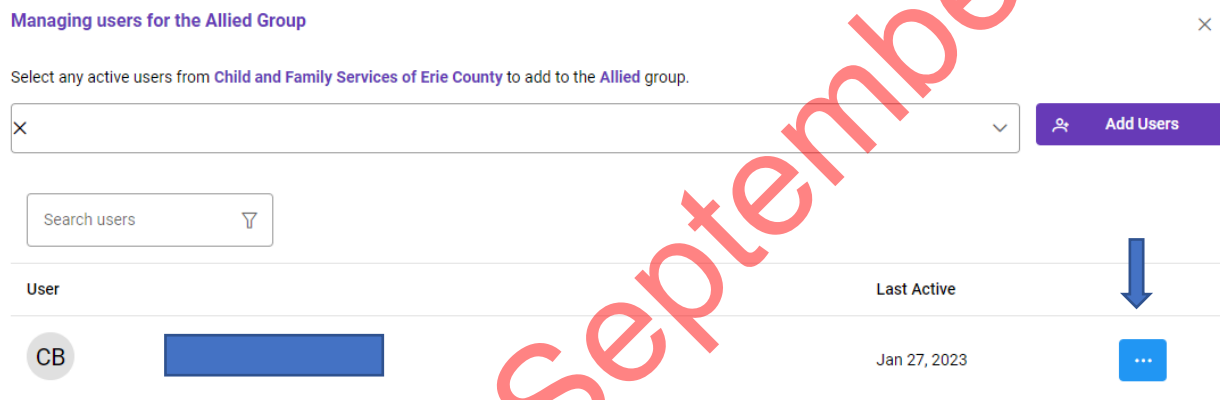
This screen allows you to click on the user you want to remove permissions from. Once you have clicked the box on the right-hand side of the person icon you will be prompted with a purple save permissions button which will effectively remove the person's permissions.

6.5.1 Removing Members Groups

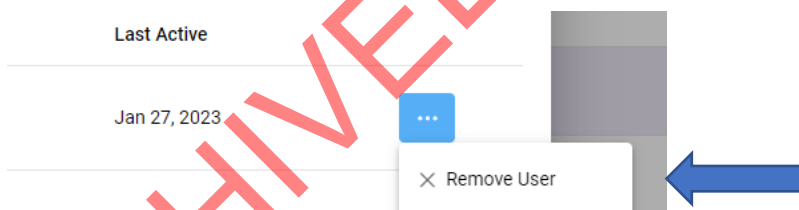
This feature allows you to remove users from groups. You will click on the blue box with the white buttons and the screen will display a list with rename group, manage group, view permissions.



You will click on the manage group and the screen below will display.



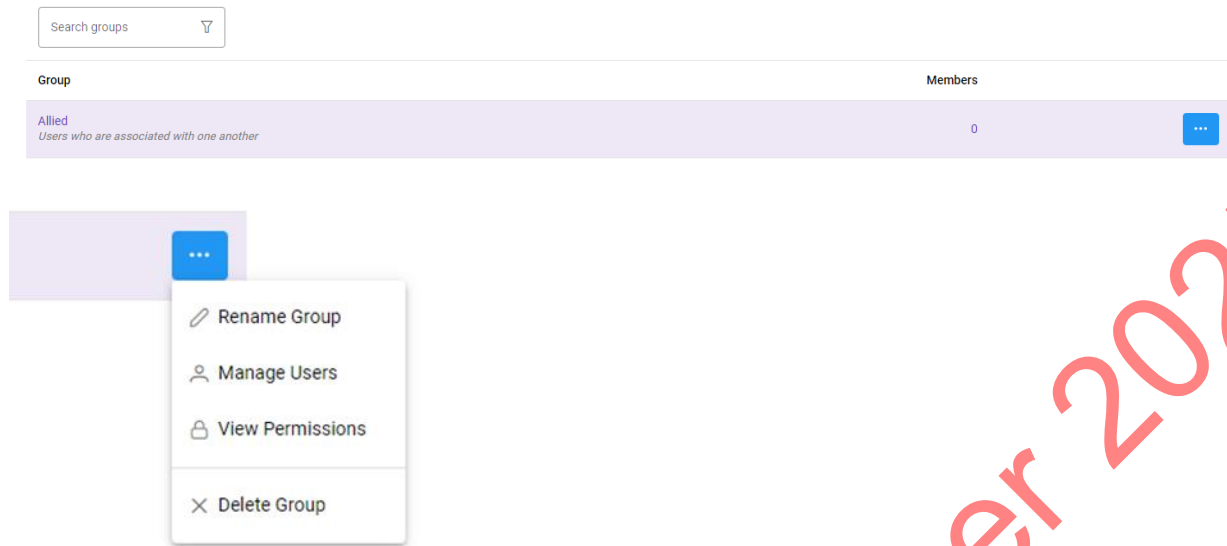
You will click on the blue box with three white buttons and the screen below will display.



You will click remove user and then close of the box.

6.5.2 Removing Groups

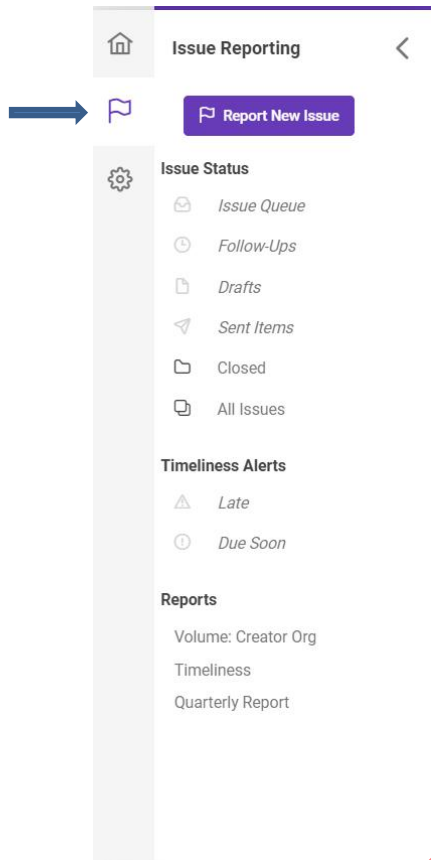
This feature allows you to remove users from groups. You will click on the blue box with the white buttons and the screen will display a list with rename group, manage group, and view permissions.



To remove a group, you will click on the delete group button and the group will delete from the page.

7 Issue Reporting

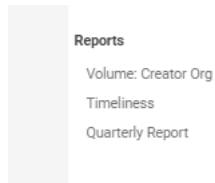
Click the flag icon to select the desired view. Views will be present or absent according to organizational role.



7.1.1 Issue Filtering

7.2 Report List

Click the graph icon to view a list of available reports. Clicking on an individual report will bring the user to the Report Designer; please see section 6.1, “Using the Report Designer,” for additional information.



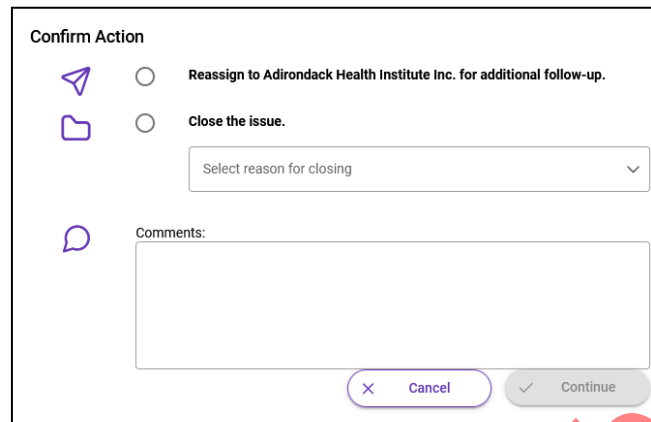
7.3 Viewing Issue Details

You can open an issue by clicking the issue number, you then set read/unread by clicking the flag icon.

#4661	Death Incident	Developmental Disability & Foster Care	Follow-Up Late
Current Assignment Abbott House Children's Service Provider 05/03/2022 01:41 PM	Created: Abbott House Children's Service Provider 05/03/2022 01:38 PM	Children and Youth Evaluation Service	Due Date: Submit to DOH by 05/31/2022

7.4 Acting on an Existing Issue

From the Issue Details screen, clicking “Actions” prompts the user to reassign or close the issue.

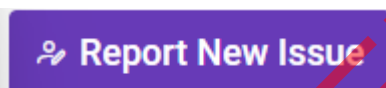


A dialog box titled "Confirm Action" with two radio button options. The first option, "Reassign to Adirondack Health Institute Inc. for additional follow-up.", is accompanied by a location pin icon. The second option, "Close the issue.", is accompanied by a folder icon. Below the second option is a dropdown menu labeled "Select reason for closing". At the bottom of the dialog is a text area labeled "Comments:" and two buttons: "Cancel" (with an 'X' icon) and "Continue" (with a checkmark icon).

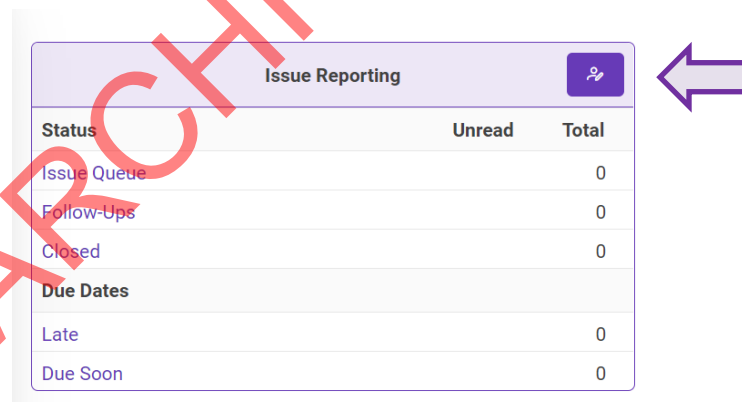
Note: that once an issue has been assigned and submitted to a Health Home, the issue cannot be assigned back to the CMA or in the case with HCBS providers or C-YES, the issue is submitted to the Department of Health it cannot be assigned back to the HCBS provider or C-YES.

7.5 Reporting a New Issue

Click the “Report New Issue” button to create a new Incident, Complaint or Grievance. Please see section 3 for further information.



A new issue can also be created via the home page by clicking the button highlighted below.



A table titled "Issue Reporting" with a purple header bar containing a white icon of a person and a plus sign. A large purple arrow points to this icon. The table has three columns: "Status", "Unread", and "Total". The rows are: "Issue Queue" (0), "Follow-Ups" (0), "Closed" (0), "Due Dates" (0), "Late" (0), and "Due Soon" (0).

Status	Unread	Total
Issue Queue		0
Follow-Ups		0
Closed		0
Due Dates		0
Late		0
Due Soon		0

7.6 Exporting Data

Click the “Download” button to export the filtered issue list to Excel. Your browser will prompt you to save the file when the download is ready.

☐

☐

↓ ⓘ Create Date

▼

 Download

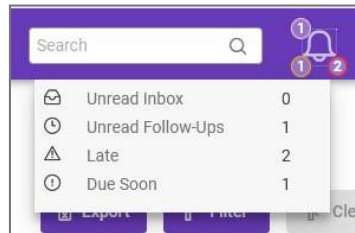
 Filter

 Clear

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7.7 Issue Quick View

Click on the bell icon to quickly access a count of Unread, Late, and Due Soon items. The notifications are organization based, so all users within the same organization will see the same alerts.



7.8 Search Bar

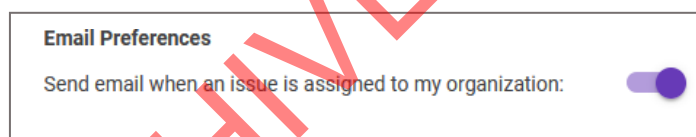
The search bar allows the user to search issues by Client Identification Number (CIN), Member Name or Issue ID.

7.9 User Info/Preferences and Logout

Clicking on the User Info icon displays current user information, allows the user to edit their profile, and allows the user to sign out of the application.



Toggle the “Email Preferences” switch to turn on/off email notifications.



Notifications

Users will receive an alert (under the bell icon within IRAMS and as an email, if that preference is turned on) when a new issue is added to their queue.

7.10 Returning to the Home Page

Click the title bar from anywhere in the application to return to the Home Page.

Incident Reporting and Management System (IRAMS)

8 Reporting an Issue

8.1 Member Connections

To report a new issue, begin by selecting the member's care manager from the drop-down listing.

Note: that all fields marked with "*" are REQUIRED.

The screenshot shows the 'Report New Issue' form with the 'Connections' tab selected. The 'Member Connections' section prompts the user to 'Select the care manager for the member.' The required field 'Who is the Member's Care Manager? *' has a dropdown menu with the placeholder 'Select Care Manager Type'. The dropdown list includes 'Children and Youth Evaluation Service', 'Health Home Serving Adults (HHSa)', and 'Health Home Serving Children (HHSC)'.

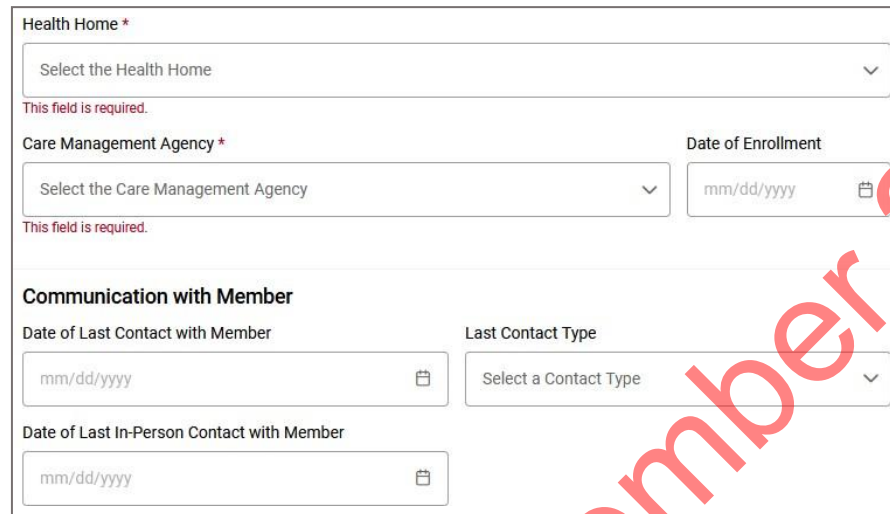
8.1.1 Children and Youth Evaluation Service (C-YES)

For C-YES, fill in the Date of Enrollment, communication details, and whether the member is enrolled in a Home and Community Based Services (HCBS) Waiver. When complete, click "Continue" to access the Member Information screen.

The screenshot displays the 'Date of Enrollment' section with a date input field (mm/dd/yyyy) and a calendar icon. Below this is the 'Communication with Member' section, which includes 'Date of Last Contact with Member' (mm/dd/yyyy with calendar icon), 'Last Contact Type' (a dropdown menu with 'Select a Contact Type'), and 'Date of Last In-Person Contact with Member' (mm/dd/yyyy with calendar icon). The 'HCBS Children's Waiver' section at the bottom asks 'Is the child enrolled in HCBS Children's Waiver?' with a toggle switch.

8.1.2 Health Home Serving Adults (HHSA)

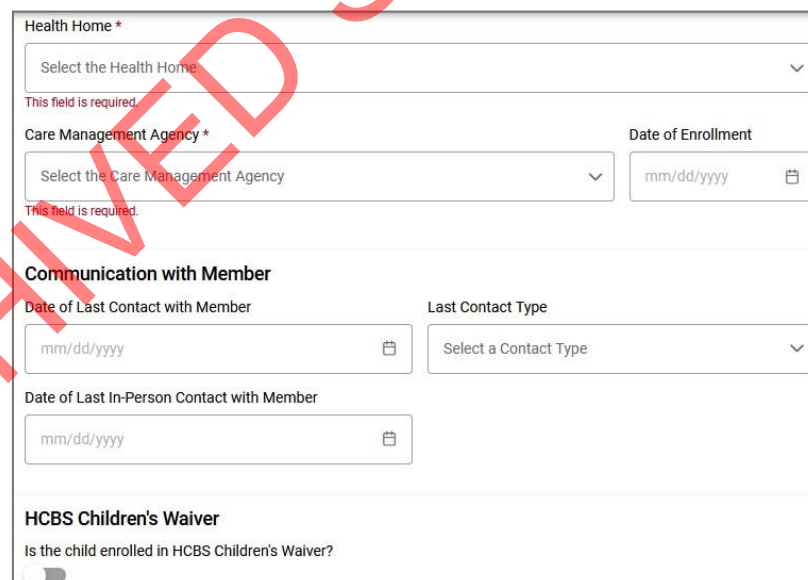
For HHSA, enter the Health Home, Care Management Agency, Date of Enrollment², and communication details. When complete, click “Continue” to access the Member Information screen.



The screenshot shows the enrollment form for Health Home Serving Adults (HHSA). It includes a dropdown for 'Health Home *' with the placeholder 'Select the Health Home' and a red error message 'This field is required.' Below this is a row with 'Care Management Agency *' (dropdown, placeholder 'Select the Care Management Agency', red error 'This field is required.') and 'Date of Enrollment' (text input, placeholder 'mm/dd/yyyy', calendar icon). The 'Communication with Member' section contains 'Date of Last Contact with Member' (text input, placeholder 'mm/dd/yyyy', calendar icon), 'Last Contact Type' (dropdown, placeholder 'Select a Contact Type'), and 'Date of Last In-Person Contact with Member' (text input, placeholder 'mm/dd/yyyy', calendar icon).

8.1.3 Health Home Serving Children (HHSC)

For HHSC, enter the Health Home, Care Management Agency, Date of Enrollment³, communication details, and whether the member is enrolled in an HCBS Waiver. When complete, click “Continue” to access the Member Information screen.



The screenshot shows the enrollment form for Health Home Serving Children (HHSC). It includes the same fields as the HHSA form: 'Health Home *', 'Care Management Agency *', 'Date of Enrollment', 'Date of Last Contact with Member', 'Last Contact Type', and 'Date of Last In-Person Contact with Member'. Additionally, it has a section titled 'HCBS Children's Waiver' with the question 'Is the child enrolled in HCBS Children's Waiver?' and a toggle switch.

² The segment start date, which should be the month the DOH—5055 Health Home Patient Information Sharing Consent form was signed.

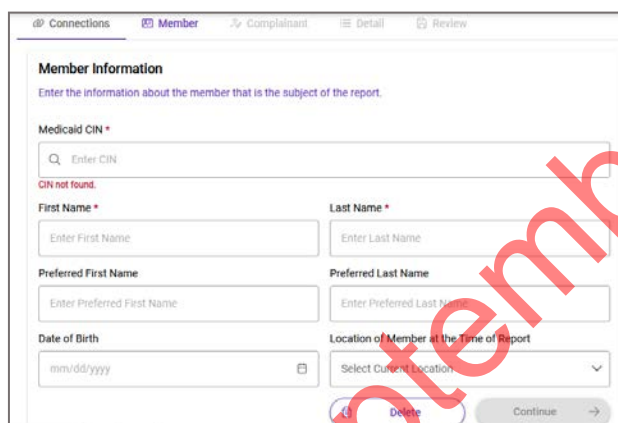
³ The segment start date, which should be the month the DOH—5055 Health Home Patient Information Sharing Consent form was signed.

8.2 Member Information

The Member Information screen contains member demographic details, including CIN, first and last name, preferred name, and the member's current location. Typing in a member CIN and hitting "Enter" will prompt the system to do a search by CIN and will pre-fill fields for which data can be located.

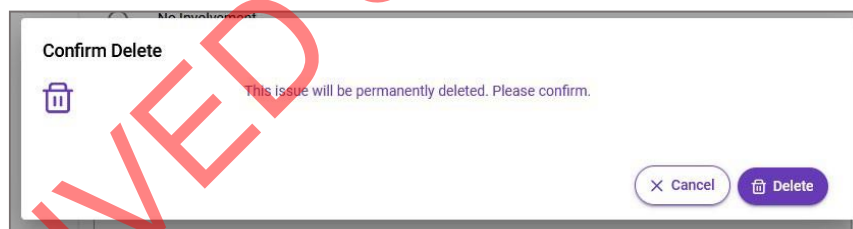
Once the required fields have been completed, click "Continue" to move to the Complainant page. Alternatively, click "delete" to remove the record.

Important: Completing all fields allows for more information for tracking and data reporting



The screenshot shows the 'Member Information' form within a web application. The form has a header with tabs: 'Connections', 'Member' (selected), 'Complainant', 'Detail', and 'Review'. Below the header, the title 'Member Information' is followed by the instruction 'Enter the information about the member that is the subject of the report.' The form contains several input fields: 'Medicaid CIN *' with a search icon and a red error message 'CIN not found.'; 'First Name *' and 'Last Name *' fields; 'Preferred First Name' and 'Preferred Last Name' fields; 'Date of Birth' with a date picker; and 'Location of Member at the Time of Report' with a dropdown menu. At the bottom, there are 'Delete' and 'Continue' buttons.

Note: "Delete" is used to **REMOVE A RECORD FROM THE SYSTEM** and should not be used to clear the fields on the screen.



The screenshot shows a 'Confirm Delete' dialog box. It has a title bar 'Confirm Delete' and a trash can icon. The message inside says 'This issue will be permanently deleted. Please confirm.' At the bottom right, there are two buttons: 'Cancel' and 'Delete'.

8.3 Complainant Information

The Complainant Information screen contains the contact information for the person reporting the issue. This should be either the member themselves (self-report) or a person acting on their behalf.⁴ Additional information captured in the Complainant Information screen includes the date the complaint was reported, and the method used, e.g., Email, In Person, Phone, Letter, Text, or Videoconference.

⁴ The Name field is required; however, if the complainant wishes to be anonymous, the report can enter "Anonymous" in the Name field.

Complainant Information

Enter the contact information for the person who is reporting the issue. This should be the member (self-reported) or the advocate acting on their behalf.

Complainant's Relationship to Member *

Select the relationship

This field is required.

First Name *

Enter First Name

Last Name *

Enter Last Name

Email

Enter Email

Phone Number

Enter Phone Number (555-555-5555)

How was the Issue Reported? *

Select a Contact Type

This field is required.

Date Issue was Reported (Discovery Date) *

Select Discovery Date

Click "Continue" to move to the Issue Details page or click "Delete" to remove the record.

Note: The issue is not recording with an identifying number until the Complainant Information screen has been completed. Therefore, if you stop now, you will have to re-enter the information later until a number is assigned.

8.4 Issue Details

The Issue Details screen contains information specific to the Incident, Complaint/Grievance, including the date of occurrence, a detailed description of the issue, the impact to the member, actions taken, media coverage, and provider involvement.

At this time, the issue ID and a "draft" notation is assigned:

Issue: #000052

DRAFT

Begin by selecting the Issue Type:

Clicking on the Information icon will display a dictionary of Incidents and Complaints to assist with selection. Clicking “Select” in this listing will assign the selection to the Incident Type or Complaint/Grievance Type field.

Continue reporting the issue by noting the date of occurrence* and a description, as well as the Justice Center Identifier (if known and applicable⁵). The Discovery Date displays what was entered on the Complainant Information page.

Note: The date of occurrence must be on or before the Discovery and Action dates. If the exact date of the occurrence is not known, the reporter may use the Discovery date or an earlier date.

⁵ The Justice Center ID is only used when DOH is sending an issue received from the Justice Center.

Action Taken:

Following the issue description, continue by selecting the actions taken and noting the date of the first action. More than one action may be selected. This 'action taken' is response from the CMA, HCBS Provider, or C-YES once the discovery of the critical incident or complaint/grievance was made. The action taken should demonstrate that the CMA/HCBS Provider/C-YES is following the standards set forth and is ensuring the safety/well-being of the member.

Actions Taken

Select Action(s) ▼

- ☐ Documentation of incident/complaints
- ☐ Follow-up with Authorities / Obtain Outcome
- ☐ Follow-up with Provider(s) / Collaterals
- ☐ Mandated Reporter Compliance

First Action Date

Select Action Date

Click “Continue” to review the issue details and submit the report, or “Delete” to completely remove the record.

Media Coverage

Provide link(s) to media coverage. Do not include obituaries.

Media Coverage ☐

Provider Involvement

Was the Care Manager or HCBS Provider directly involved in the incident?*

☒ No Involvement

☐ Children and Youth Evaluation Service

Delete Continue →

Note: Any media coverage and provider involvement. Toggling “Media Coverage” on will require the user to enter information into the Media Coverage text box. Examples of “Media Coverage” include (but are not limited to) crime or missing person information referenced in newspapers, news coverage, or the internet.

9 Submitting an Issue

9.1 Review

The Review page displays a complete listing of all information entered.

Review the reported issue and submit the report.

Connections	
Care Management:	Health Home Serving Children (HHSC)
Health Home:	BESTSELF BEHAVIORAL HEALTH, INC
Care Management Agency:	Abbott House
Enrollment Date:	03/22/2021
Communication with Member	
Last Contact Date:	03/22/2021
Last Contact Type:	Email
Last In-Person Contact Date:	03/22/2021
Member	
CIN:	AA12345B

Clicking on any previous page allows the user to make changes to individual fields. **Changes will not be saved** until “Continue” is clicked on the page being updated.

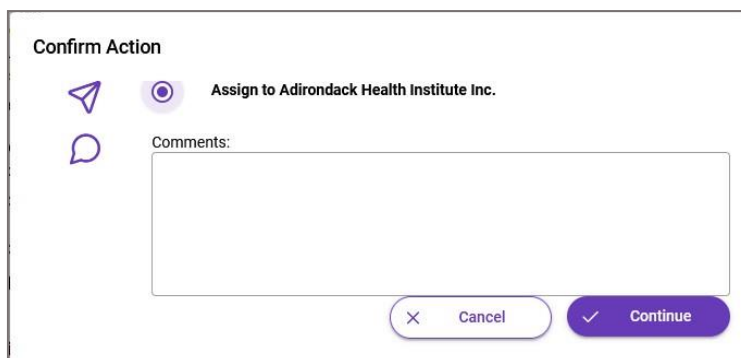
9.2 Actions

Clicking the “Actions” button brings up a dialog box that prompts the user to confirm assignment to the appropriate agency and provide comments. Comments provided in this box also populate in the ‘comments’ section for this issue in the Issues Queue on the Home Page.

It is the responsibility of the HH, C-YES, and HCBS Providers to ensure all appropriate actions were taken. For critical incidents, this includes that steps were taken to ensure the safety and well-being of the participant; for complaints/grievances, this includes that the issue was resolved or appropriately escalated. For issues submitted by CMAs, the HH will confirm – via the “Confirm Action” dialogue box – that appropriate actions were taken. For issues submitted by HCBS Providers/C-YES, DOH confirms appropriate actions were taken.

If a CMA enters an issue that does not meet the criteria for a critical incident, the Health Home may select “Not Reportable” and provided appropriate comments. DOH also has the option to mark as issue as “Not Reportable”; therefore, if a CMA/HH, HCBS Provider, or C-YES is unsure if they should report an issue, they should submit to DOH via IRAMS and provide appropriate comments to assist DOH in determining if the issues is reportable or not.

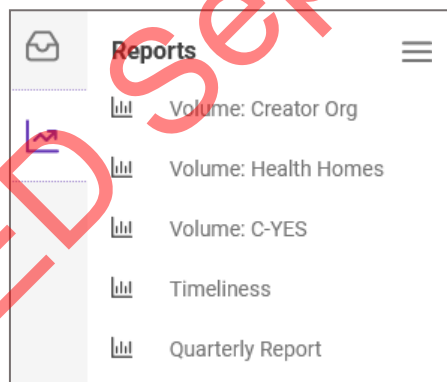
Select “Cancel” to return to the review page, or “Continue” to submit the issue and return to the IRAMS home page.

A dialog box titled "Confirm Action" with a light purple border. It contains three radio buttons on the left: a triangle, a circle (which is selected), and a speech bubble. To the right of the selected radio button is the text "Assign to Adirondack Health Institute Inc.". Below this is a text area labeled "Comments:". At the bottom right are two buttons: "Cancel" with a purple 'X' icon and "Continue" with a purple checkmark icon.

Note: For Health Homes, Children’s HCBS Providers, and C-YES selecting “Continue” will submit the issue to DOH. For CMAs, selecting “Continue” will submit the issue to their lead Health Home.

10 Reporting

From the IRAMS home page, select the reporting icon to view a list of available reports:



Note: The display reflects reports available for the selected organizational role. The following example displays available reports for the Health Home organizational role.

IRAMS does not generate reports in PDF, but issues can be printed from the browser, or the details can be selected to copy/paste into a Word document and then converted to PDF if the agency would like to keep a copy of the report outside the system.

10.1 Using Quick Filters

Clicking on a report displays a screen containing currently selected rows, columns, and filters:

Reports

Volume: Creator Org

Volume: Health Homes

Timeliness

Quarterly Report

Volume: Health Homes

Column Grand Total

Column Subtotals

Row Grand Total

Row Subtotals

Expand All

Collapse All

Create Date

Is Reportable?

Care Manager Type

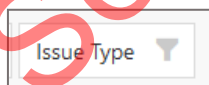
HCBS Enrollment

Health Home Serving Adults (HHSA)

Not Enrolled

Issues	Same Member within 30 Days	Resolved within 30 Days	Resolved More Than 30 Days	Unresolved Issues			
Northwell Health							
Abbott House							
		Complaint/ Grievance	1	0	1	0	0
		Incident	3	0	1	0	2
HHC Health Home - North Central Bronx ACT Case							
		Complaint/ Grievance	16	0	5	11	0

Users can quickly filter on any category by clicking the filter icon to narrow the display in the report preview screen:



Search

☒ Select All

☐ (Blanks)

☒ Abuse - Misappropriation of Me...

☐ Abuse - Neglect

☐ Abuse - Physical

☐ Abuse - Psychological

OK Cancel

Selecting “Total” options will add Grand and Subtotals to the report.

Volume: Health Homes

☒ Column Grand Total

☒ Row Grand Total

☐ Column Subtotals

☐ Row Subtotals

⌵ Expand All

⌶ Collapse All

10.2 Exporting a Report to Excel

Clicking the icon below will export the report to Excel .xlsx format.



Appendix

Appendix A: Definitions

Abuse: Any of the following acts:

- **Physical Abuse:** any non-accidental physical contact with a participant which causes or has the potential to cause physical harm. Examples include, but are not limited to, hitting, kicking, biting, choking, smothering, shoving, dragging, throwing, punching, shaking, burning, cutting, or the use of corporal punishment.
- **Psychological Abuse:** includes any verbal or nonverbal conduct that is intended to cause a participant emotional distress. Examples include, but are not limited to, teasing, taunting, name calling, threats, display of a weapon or other object that could reasonably be perceived by the participant as a means of infliction of pain or injury, insulting or coarse language or gestures directed toward a participant which subjects the patient to humiliation or degradation; violation of participant rights or misuse of authority.
- **Sexual Abuse/Sexual Contact:** includes any sexual contact and a participant. Examples include, but are not limited to, rape, sexual assault, inappropriate touching and fondling, indecent exposure, penetration (or attempted penetration) of vagina, anus or mouth by penis, fingers, or other objects. For purposes of this policy, sexual abuse shall also include sexual activity involving a participant and a service provider; or any sexual activity involving a member that is encouraged by a service provider, including but not limited to, sending sexually explicit materials through electronic means (including mobile phones, electronic mail, etc.), voyeurism, or sexual exploitation.
- **Neglect:** any action, inaction or lack of attention that breaches a service provider's duty and that results in or is likely to result in physical injury or serious or protracted impairment of the physical, mental, or emotional condition of the participant.
- **Misappropriation of Member Funds:** use, appropriation, or misappropriation by a service provider of a participant's resources, including but not limited to funds, assets, or property, by deception, intimidation, or similar means, with the intent to deprive the participant of those resources. Examples include the deliberate misplacement, theft, or wrongful, temporary, or permanent use of a participant's belongings or money.

Children and Youth Evaluation Service (C-YES): C-YES is the State-designated Independent Entity who develops and manages the HCBS plan of care for children and youth enrolled in the 1915(c) Children's Waiver who elect to opt out of Health Home care management but still want to receive HCBS. The 1915(c) Children's Waiver of HCBS requires that each participant receives care coordination for HCBS. Health Home care management provides this care coordination unless the participant opts-out and are managed by C-YES.

Complaint: Dissatisfaction expressed verbally or in writing by or on behalf of a member, other than an appeal or Fair Hearing Rights. Such expressions may include dissatisfaction with the provision of services or other services identified in the member's

plan of care. For example: a customer service issue; lack of/dissatisfaction with coordination of care; a long wait in doctor's office; Health Home Care Manager (HHCM) not returning phone calls; HHCMs lack of response to member request for changing HHCM or Care Management Agency (CMA); etc.

Complainant: the person reporting the issue or filing the complaint; this could be either the member themselves (if they are self-reporting) or a person acting on their behalf (such as a family member).

Crime Level 1: An arrest of a member for a crime committed against persons (i.e., murder, rape, assault) or crimes against property (i.e., arson, robbery, burglary) AND is perceived to be a significant danger to the community or poses a significant concern to the community.

Grievance: A wrong or hardship suffered (real or perceived), which is the grounds of a complaint.

Death: The death of a member resulting from an apparent homicide, suicide, or unexplained or accidental cause; the death of a member which is unrelated to the natural course of illness or disease.

Exploitation: taking advantage of a [participant] for personal gain through the use of manipulation, intimidation, threats, or coercion.

Fair Hearing: A Fair Hearing is a chance for an individual to have an eligibility or service decision reviewed by an Administrative Law Judge from the New York State Office of Temporary and Disability Assistance (OTDA), when the individual does not agree with the decision made or thinks it is wrong.

Incident: A reportable or critical incident is an event involving a participant, which has, or may have, an adverse effect on the life, health, or welfare of the participant

Issue: within the IRAMS system, "issue" is used to refer to either an incident or a complaint/grievance.

Member: For the purpose of this document, whenever 'member' is used it refers to the child or youth and their parent(s), guardian, or legally authorized representative, unless stated otherwise.

Missing Person: When a member 18 or older is considered missing AND the disappearance is possibly not voluntary, or a Law Enforcement Agency has issued a Missing Person Entry, OR when a child's (under the age of 18) whereabouts are unknown to the child's parent, guardian, or legally authorized representative.

Restrictive Interventions – According to the CMS Final Rule 42 CFR Part 482 (Federal Register/Vol 71, No. 236, pg. 71427):

- A **restraint** is any manual method, physical or mechanical device, material, or equipment that immobilizes or reduces the ability of a patient to move his or her arms, legs, body, or head freely; or a drug or medication when it is used as a restriction to manage the patient's behavior or restrict the patient's freedom of movement and is not a standard treatment or dosage for the patient's condition; a restraint does not include devices, such as orthopedically prescribed devices, surgical dressings or bandages, protective helmets, or other methods that involve the physical holding of a patient for the purpose of conducting routine physical examinations or tests, or to protect the patient from falling out of bed, or to permit the patient to participate in activities without the risk of physical harm (this does not include a physical escort).
- **Seclusion** is the involuntary confinement of a patient alone in a room or area from which the patient is physically prevented from leaving. Seclusion may only be used for the management of violent or self-destructive behavior.

Suicide Attempt: An act committed by a member in an effort to cause his or her own death.

Violation of Protected Health Information: Any violation of a client's rights to confidentiality pursuant to State and Federal laws including, but not limited to, 42 CFR Part 2 or the Health Insurance Portability and Accountability Act (HIPAA), and Article 27F. The CMA has a responsibility to review to determine whether the incident is a breach of security vs. a breach of privacy.

Appendix B: Types of Complaints/Grievances

Complaints/Grievances

- Any violation of rights: for example, a participant's plan of care being shared with a provider that is not listed on their consent form
- Availability of service or ability to receive service: for example, a participant being placed on a waitlist to receive a service for more than 1 month
- Quality of care received and/or whether services are meeting the member's needs: for example, services provider are not addressing the needs/goals identified on the participant's plan of care
- Afforded choice of providers: for example, a participant being told they must receive care management and services from the same agency
- Whether back up plans are effective: for example, participant is not able to reach provider during a crisis
- Program eligibility and/or qualifications: for example, participant believes their eligibility assessment was conducted incorrectly
- Whether health and welfare are being maintained: for example, participant does not receive required care management visits to ensure health and welfare
- Dissatisfaction with services or providers of services: for example, provider cancelling meetings/sessions or a long wait in a doctor's office

Appendix C: Release Notes 8/8/2022

IRAMS Version 1.2.0 Release Notes:

- You may view recent issue activity by type on the home page.
- You may create a new issue from the home page with the Report New Issue button on the Issue Reporting widget.
- Some issue types are now automatically accepted and closed by the Department of Health.
- You may use the filter to find issues that have media coverage.
- You may sort closed issues by the closed date.
- You may use the quick filters on the issue listing for unread issues and late issues.

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