



Children's Staff Compliance Tracker System User Guide

Updated August 2024

Table of Contents

SECTION 1 – Staff Compliance Tracker Introduction	3
I. Staff Compliance Tracker Introduction.....	3
II. Children’s Staff Compliance Tracker Roles	4
SECTION 2 – Staff Compliance Tracker Overview	5
A. Human Resources (HR) Personnel Permissions	5
B. System Navigation.....	5
C. Add Missing Staff Information for Previous Staff System Navigation.....	6
D. Filters.....	7
E. Alerts for Completion	8
F. Add HCBS Agency Information.....	8
G. Add Information for New Staff	9
H. Add Demographic Information for New Staff.....	9
I. Add Employment Information	10
J. Add Clearance Checks.....	11
K. Title 8 Exemption for Clearance Checks	12
L. Add Training Information	13
M. Mandated Reporter Training	15
N. Add Service Qualification Information.....	16
O. Removal of Services.....	17
APPENDIX	18
Appendix A: Technical Assistance	18

SECTION 1 – Staff Compliance Tracker Introduction

I. Staff Compliance Tracker Introduction

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 Home and Community Based Service (HCBS) providers, Health Home Care Managers (HHCMs), and Children and Youth Evaluation Services (C-YES) who supplied HCBS or care management to Children's Waiver participants are required to report this information to DOH.

Beginning in Waiver Year 2022-2023, all agencies are required to report this information electronically through the Incident Reporting and Management System (IRAMS), as well as verify and confirm previous staffing information back to April 1, 2019. The IRAMS system launched a software update for the Staff Compliance Tracker to allow for the electronic reporting with availability beginning on June 19, 2023.

For directions on IRAMS access, please see the [IRAMS Access Guide](#).

Previously, agencies were required to submit Excel files in order to report trainings and certifications that each of their staff members have completed. The Staff Compliance Tracker is pre-populated with staff compliance information, previously reported to DOH.

The Staff Compliance Tracker developed in IRAMS gives agencies the ability to edit/complete the following for new, existing, and previous 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 Staff Compliance Tracker includes requirements for both HHCM/C-YES and HCBS providers. Agencies must provide the information applicable to their provider type. This may include, but is not limited to, the date 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)
- Suicide Prevention Training (HCBS providers)
- Domestic Violence Signs and Basic Interventions Training (HCBS Providers)
- Strength-Based Approaches Training (HCBS Providers)

The Staff Compliance Tracker is available throughout the year to Human Resources/Personnel Staff to enter information as agency staffing changes and trainings occur. Effective June 1, 2024, new employees should be added to the Staff Compliance Tracker within 30 days of hire date or CHRC verification, whichever comes later. Training completion dates must be entered within 30 days from date of training. Employees that leave employment should be ended in the Staff Compliance Tracker within 30 days of employment end date.

II. Children’s Staff Compliance Tracker Roles

Within the Children’s Staff Compliance Tracker, there are primary tools that will change the user’s view and/or allow the user to edit the Tracker. Below are different permission options roles in the system:

Role	Permissions
View Staff Compliance	View Staff Compliance information
Manage Staff Compliance	View and Manage Staff Compliance; enter staff and their qualifications into the system

SECTION 2 – Staff Compliance Tracker Overview

A. Human Resources (HR) Personnel Permissions

The screenshot displays the 'Staff Compliance' permission management interface. It is divided into two main sections: 'Permission' and 'Groups/Users'.
Under the 'Permission' section, there are two items:
1. **View Staff Compliance**: Description: 'View staff, trainings and compliance'. This item is highlighted with a red box.
2. **Manage Staff Compliance**: Description: 'Manage staff, trainings and compliance'. Below this description is a note: '*Includes the View Staff Compliance permission.' This item is also highlighted with a red box.
Under the 'Groups/Users' section, there are two identical lists of users, each with a blue three-dot menu icon to its right:
- Aaron Roe
- Alison Conneally
- Chantelle Boyce
- Diana Halstead
- Francine Lombardi
- George Brown
- Jodi Munson
- Karen Murphy
- Laquasia Brigman
- Vijay Oruganti

Permission must be given by the agency's IRAMS Gatekeeper to their HR personnel who will be entering staff information. The Gatekeeper should give permission under 'Manage Staff Compliance' when granting permission to HR personnel. 'View Staff Compliance' permissions will mostly be utilized by DOH staff to verify and ensure agencies are meeting all requirements set forth in the Staff Compliance Tracker.

B. System Navigation

The screenshot shows a mobile application navigation menu for 'Staff Compliance'. At the top, there is a home icon, the text 'Staff Compliance', and a back arrow. Below this, there are three menu items:
1. A checkmark icon followed by the text 'Staff Compliance'.
2. A checkmark icon followed by the text 'Staff Compliance'.
3. A gear icon followed by the text 'Staff Compliance'.

Once permission is granted, the HR personnel should log in and select 'Staff Compliance' to enter staff information, clearance checks, trainings, and services.

C. Add Missing Staff Information for Previous Staff System Navigation

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 labeled "Search staff" is present, along with several filter icons. The main area shows a list of staff members, with the first two visible. The first staff member is identified by the initials "AT" and has a "Name" field highlighted with a purple box. Below the name, it shows the dates "07/14/2021 - Present" and "Per Diem". To the right of the name field is a magnifying glass icon, which is highlighted with a red box and a blue arrow pointing upwards. Below the name field, there are three columns: "Clearance Checks" (3/3 with a green checkmark), "Trainings" (6/6 with a green checkmark and a yellow warning icon), and "Services" (1 with a green checkmark). A button labeled "Caregiver Family Support and Services" is located below these columns. The second staff member is identified by the initials "AP" and has a "Name" field highlighted with a purple box. Below the name, it shows the dates "07/09/2012 - Present" and "Per Diem". To the right of the name field is a magnifying glass icon, which is highlighted with a red box and a blue arrow pointing upwards. Below the name field, there are three columns: "Clearance Checks" (3/3 with a green checkmark), "Trainings" (6/6 with a green checkmark and a yellow warning icon), and "Services" (0 with a yellow warning icon). A pagination bar at the bottom of the list shows "Showing 1 to 20 of 39" and a dropdown menu for "20".


If an agency provided Staff Qualifications on an Excel spreadsheet that was submitted to DOH prior to 2023, the current and previous staff information will be preloaded in the system. Each staff member's record can be accessed and any information that is missing can be added by clicking on the magnifying glass.

Agencies that did not respond to previous requests for staffing information will have to enter information about their staff who are still employed to demonstrate compliance with Children's Waiver requirements.

D. Filters

The screenshot displays the 'Abbott House' interface for 'Children's Service Provider'. At the top, there is a dropdown menu for 'Abbott House' and a button labeled 'Add Staff Member'. Below this is the 'HCBS Agency Information' section, which is expanded. A search bar for 'Search staff' is visible. A filter bar is highlighted with a red box, containing three icons: a person icon, a sliding bar, and a warning icon. A blue arrow points to the filter bar. Below the filter bar, there is a pagination control showing 'Showing 1 to 20 of 39' and a dropdown menu for '20'. The main content area displays two staff profiles. The first profile is for 'AT' with a 'Name' field highlighted in a purple box. It shows '07/14/2021 - Present' and 'Per Diem' status. Below the profile, there are three sections: 'Clearance Checks' (3/3), 'Trainings' (5/6), and 'Services' (1). The second profile is for 'AP' with a 'Name' field highlighted in a purple box. It shows '07/09/2012 - Present' and 'Per Diem' status. Below the profile, there are three sections: 'Clearance Checks' (3/3), 'Trainings' (6/6), and 'Services' (0). A button labeled 'Caregiver Family Support and Services' is located at the bottom of the first profile.

The toggle bar (indicated in the red box above) can be used to filter by previously listed staff. Turning off the filter will remove previous staff who were automatically uploaded to the system.

The sliding bar next to the  icon can be used to filter by staff with remaining and/or pending clearance checks, trainings, and services that have not yet been completed.

E. Alerts for Completion

The screenshot shows 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, along with filters for active status, alerts, and a toggle switch. A pagination bar shows "Showing 1 to 20 of 39" with page numbers 1 and 2, and a dropdown for 20 items per page. Two staff profiles are displayed:

- Staff AT:** 07/14/2021 - Present, Per Diem. Clearance Checks: 3/3 (all completed). Trainings: 6/6 (all completed, with a pending alert icon). Services: 1 (all completed).
- Staff AP:** 07/09/2012 - Present, Per Diem. Clearance Checks: 3/3 (all completed). Trainings: 6/6 (all completed, with a pending alert icon). Services: 0 (all pending).

Each profile has a "Name" field, a search icon, and a "Services" count. A red box highlights the "Clearance Checks" and "Trainings" categories for staff AT.

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

Key:

- Pending
- Completed
- Incomplete Alert

F. Add HCBS Agency Information

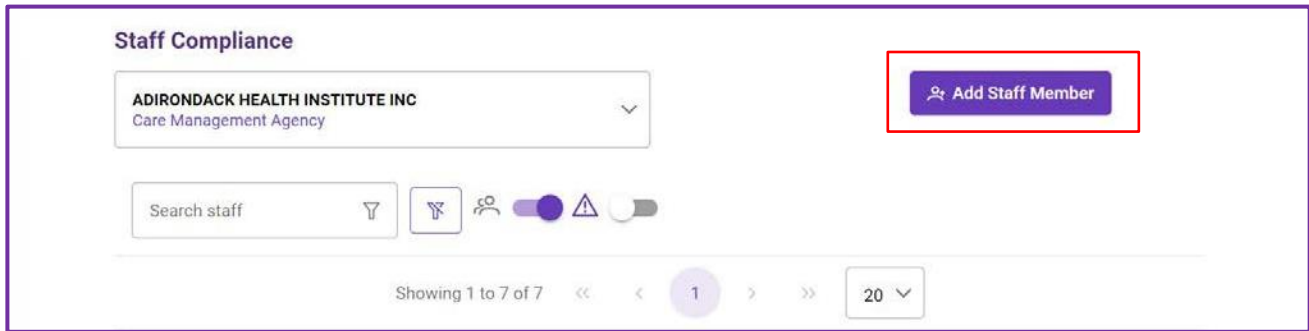
The screenshot shows the "HCBS Agency Information" settings page. At the top, there is a dropdown menu for the agency name and a "Click to expand" link. Below this are five toggle switches for different certifications:

- DOH Licensed / Certified
- OCFS Volunteer Foster Care Agency Licensed
- OMH Licensed
- OASAS Certified
- OPWDD Certified

All five toggle switches are currently turned off.

In order to fulfil the requirement of indicating if an agency is licensed and/or certified under any of the listed State Agencies, the 'HCBS Agency Information' dropdown must be expanded by toggling the buttons (above) on or off.

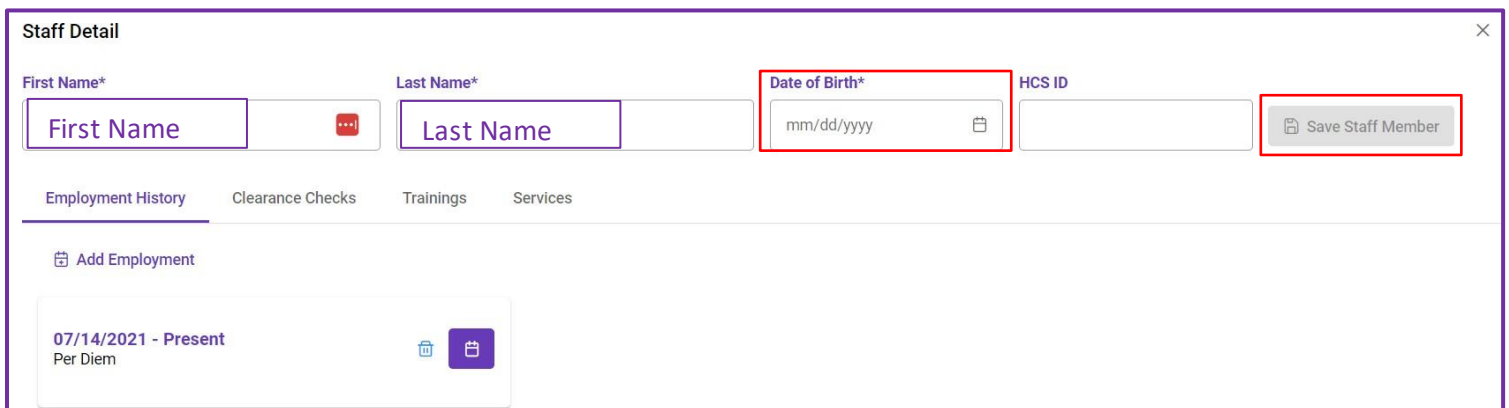
G. Add Information for New Staff



The screenshot shows the 'Staff Compliance' interface. At the top, there is a dropdown menu for 'ADIRONDACK HEALTH INSTITUTE INC' with the subtext 'Care Management Agency'. To the right of this dropdown is a purple button labeled 'Add Staff Member', which is highlighted with a red rectangular box. Below the dropdown is a search bar with the text 'Search staff' and several filter icons. At the bottom, there is a pagination control showing 'Showing 1 to 7 of 7' and a page number '1' in a circle, with a dropdown for '20' items per page.

To add a new staff member, HR personnel should click the button labeled 'Add Staff Member'.

H. Add Demographic Information for New Staff



The screenshot shows the 'Staff Detail' form. At the top, there are four input fields: 'First Name*', 'Last Name*', 'Date of Birth*', and 'HCS ID'. The 'Date of Birth*' field is highlighted with a red box and contains the placeholder text 'mm/dd/yyyy'. To the right of the 'HCS ID' field is a grey button labeled 'Save Staff Member', which is also highlighted with a red box. Below the input fields are four tabs: 'Employment History', 'Clearance Checks', 'Trainings', and 'Services'. Under the 'Employment History' tab, there is a section titled 'Add Employment' with a date range '07/14/2021 - Present' and the text 'Per Diem'. There are also icons for deleting and adding employment records.

Demographic information including name, date of birth, HCS ID (if applicable), and employment history can be added for new staff in the Staff Compliance Tracker. Name and date of birth are required in order to save a new staff member. HCS ID is optional, but should be included anytime an HCBS staff member has an assigned HCS ID.

I. Add Employment Information

The image shows two screenshots from a software application. The top screenshot is titled 'Staff Detail' and contains fields for 'First Name*' (with 'Name' entered), 'Last Name*' (with 'Thornton' and 'Name' entered), 'Date of Birth*' (with a date format 'mm/dd/yyyy'), and 'HCS ID'. A 'Save Staff Member' button is visible. Below these fields are tabs for 'Employment History', 'Clearance Checks', 'Trainings', and 'Services'. A red box highlights the 'Add Employment' button in the 'Employment History' tab. A red arrow points from this button to the bottom screenshot. The bottom screenshot is titled 'Employment' and contains fields for 'Hire Date/First Day in Role*' (with '07/14/2021' entered), 'Last Employment Date*' (with 'Only non-active staff (mm/dd/yyyy)' entered), 'Staff Type*' (with a dropdown menu showing 'Select Staff Type'), and 'Employment Type*' (with a dropdown menu showing 'Per Diem'). 'Save Employment' and 'Cancel' buttons are at the bottom.

HR personnel have the ability to add employment information by clicking 'Add Employment' when editing or adding a staff member's information. If the staff member was pre-loaded, their date of hire must be verified, and the new staff must have their date of hire listed when they are added. Additionally, 'Staff Type' (Employee or Subcontract) and 'Employment Type' (Per Diem, Full-Time, or Part-Time) must be selected.

Note: Clearance Checks, Trainings, and Service tabs may not be completed until Employment information has been added to the system.

J. Add Clearance Checks

Staff Detail [Close]

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

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 [Close]

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

Clearance Date*

06/01/2023 [Calendar Icon]

[Add Clearance] [Cancel]

To add Clearance Checks, HR personnel should click the 'Add Clearance' button next to each type of clearance check that needs to be confirmed. The date the clearance check was completed under 'Clearance Date' should be added, and once clicked, the 'Add Clearance' button will save the Clearance Check into the system.

For more information on clearance checks, please reference the [Criminal History Record Check](#) policy.

K. 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.

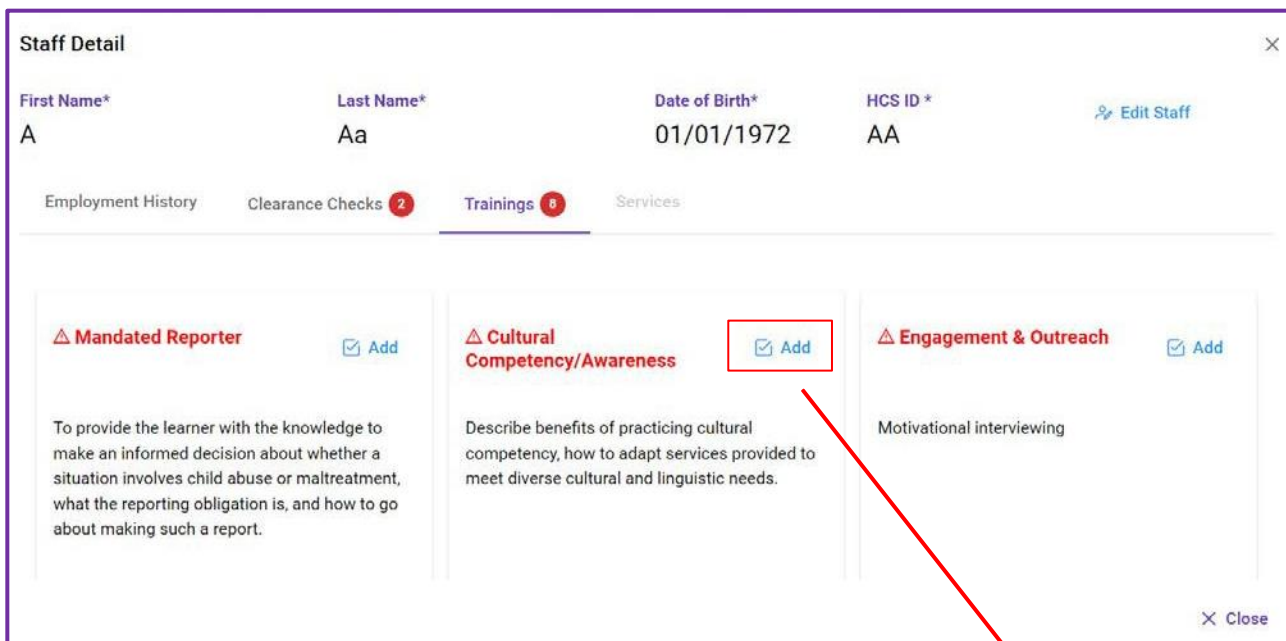
Title 8 Exemption

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).

L. Add Training Information

To add completion dates of all required trainings, HR personnel should click the 'Add' button next to each required training. The date the training was completed under 'Training Date' should be added and once clicked, the 'Add Training' button will save the Training information into the system.

Trainings that still need to be added and/or completed will appear in red text. A number will also appear next to the 'Trainings' tab, indicating the number of trainings that still need to be completed.

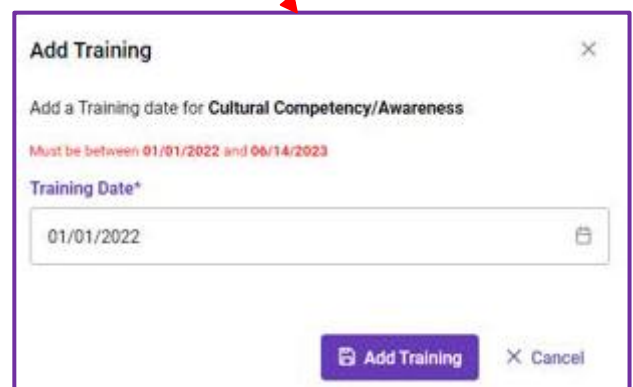


The screenshot shows the 'Staff Detail' page for a staff member with First Name 'A', Last Name 'Aa', Date of Birth '01/01/1972', and HCS ID 'AA'. The 'Trainings' tab is active, showing three training requirements: 'Mandated Reporter', 'Cultural Competency/Awareness', and 'Engagement & Outreach'. Each requirement has an 'Add' button. The 'Cultural Competency/Awareness' button is highlighted with a red box and a red arrow pointing to the 'Add Training' dialog box below.

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

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



The 'Add Training' dialog box is shown, prompting the user to add a training date for 'Cultural Competency/Awareness'. The date '01/01/2022' is entered in the 'Training Date*' field. The dialog includes an 'Add Training' button and a 'Cancel' button.

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 **Cancel**

If the completion of the Training is indicated as late in the system, a reason must be provided from the dropdown options as well as a narrative explanation.

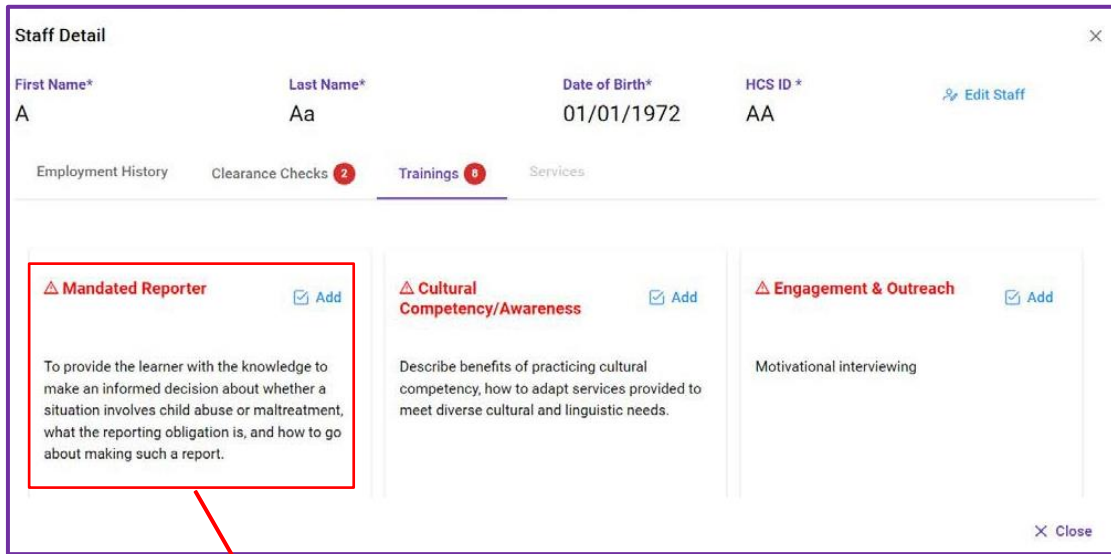
The screenshot shows the 'Staff Detail' page for a staff member with the following information: First Name: A, Last Name: Aa, Date of Birth: 01/01/1972, HCS ID: AA. The 'Trainings' tab is active, showing three training categories: 'Mandated Reporter', 'Cultural Competency/Awareness', and 'Engagement & Outreach'. The 'Add' button for 'Cultural Competency/Awareness' is highlighted with a red box. A red arrow points from this button to the 'Add Training' dialog box below.

The 'Add Training' dialog box is open, showing the following fields and options:

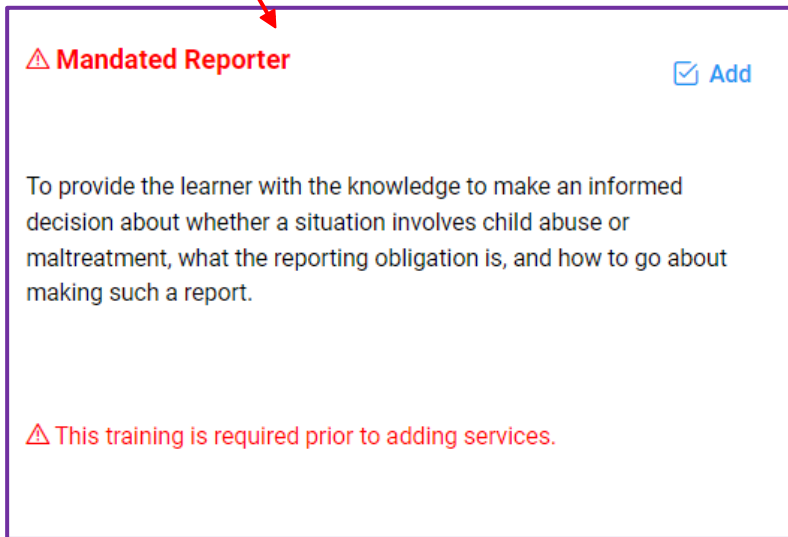
- Title: Add a Training date for **Cultural Competency/Awareness**
- Constraint: Must be between 01/01/2022 and 06/14/2023
- Training Date*: 01/01/2023
- Late Reason: Select Late Reason (dropdown menu)
- Late Explanation: (text area)
- Buttons: Add Training, Cancel

Red text below the 'Late Reason' and 'Late Explanation' fields indicates they are required.

M. Mandated Reporter Training



The screenshot shows the 'Staff Detail' page for a staff member with First Name 'A', Last Name 'Aa', Date of Birth '01/01/1972', and HCS ID 'AA'. The 'Trainings' tab is active, showing three training items: 'Mandated Reporter', 'Cultural Competency/Awareness', and 'Engagement & Outreach'. The 'Mandated Reporter' training is highlighted with a red box. A red arrow points from this box to a larger, detailed view of the training below.



⚠ Mandated Reporter Add

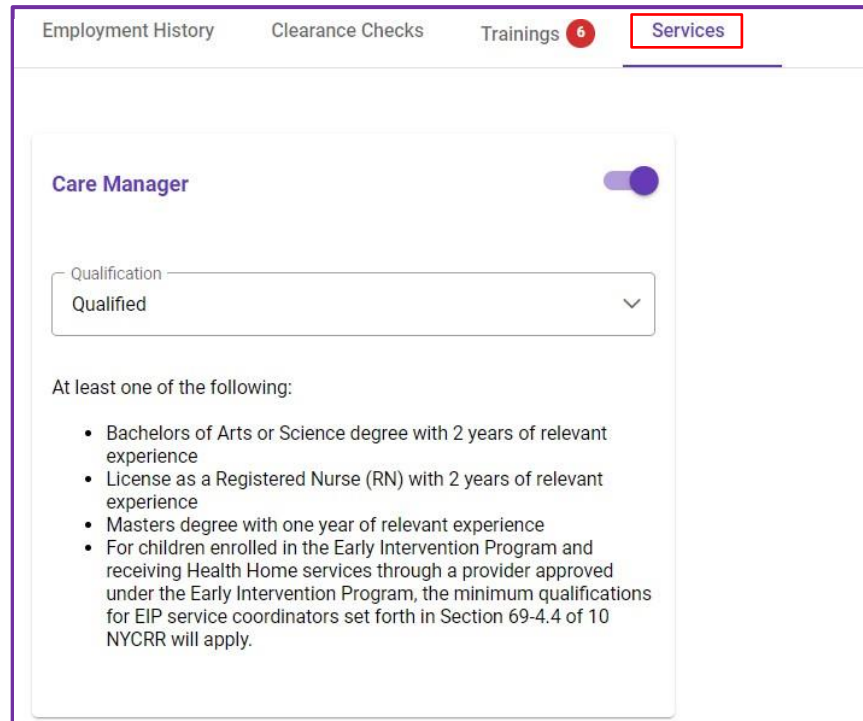
To provide the learner with the knowledge to make an informed decision about whether a situation involves child abuse or maltreatment, what the reporting obligation is, and how to go about making such a report.

⚠ 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.

In alignment with Training Requirements, dates for Mandated Reporter Training completion must be no earlier than one (1) year prior to the reported employment start date.

N. Add Service Qualification Information



The screenshot shows a user interface with a navigation bar at the top containing 'Employment History', 'Clearance Checks', 'Trainings' (with a red notification bubble containing the number 6), and 'Services' (which is highlighted with a red box). Below the navigation bar, there is a section titled 'Care Manager' with a toggle switch that is turned on. Underneath the toggle is a dropdown menu labeled 'Qualification' with 'Qualified' selected. Below the dropdown, the text reads 'At least one of the following:' followed by a bulleted list of qualifications:

- 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, HR personnel will use the toggle switch to indicate what service(s) each staff provides. The toggle switch can be moved to the right to turn it "On". For each service a staff member provides, HR personnel must choose from the dropdown under 'Qualification' in order to list which qualifications the staff member has that allows them to provide each service.

O. Removal of Services

The screenshot displays a user interface for managing services. On the left, a card titled "Caregiver Family Support and Services" features a toggle switch in the top right corner, which is currently turned on. Below the title is a "Qualification" dropdown menu set to "Level 2 Staff". The card lists "Individual Staff Qualifications" and "Supervisor Qualifications" with detailed requirements for each level. A red box highlights the toggle switch, and a red arrow points from it to a "Confirm Service Removal" dialog box on the right. The dialog box contains a warning icon and text asking for confirmation to remove the service, with "No" and "Yes" buttons at the bottom.

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 turning a service off, a 'Confirm Service Removal' pop up will appear. Services that only appear in error should be removed. Services that were provided in the past are still applicable for their employment history and should remain under the 'Service' tab.

APPENDIX

Appendix A: Technical Assistance

If your account does not have the correct permissions, or if you get locked out, please contact Commerce Account Management Unit (CAMU) at camusupp@health.ny.gov

Please note this is NOT a helpline, this is a technical support service.

Click [here](#) for a guide on how to create an HCS account.

Reach out to your agency's coordinator to create an account for you.

Note: You must log in to HCS once created to make your account active.

How to Access IRAMS

IRAMS access: <https://incred.health.ny.gov/>

Behavioral Health Mailbox: BH.Transition@health.ny.gov