



Department
of Health

Medicaid

Children's Staff Compliance Tracker System User Guide

Updated August 2024

ARCHIVED August 2025

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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.

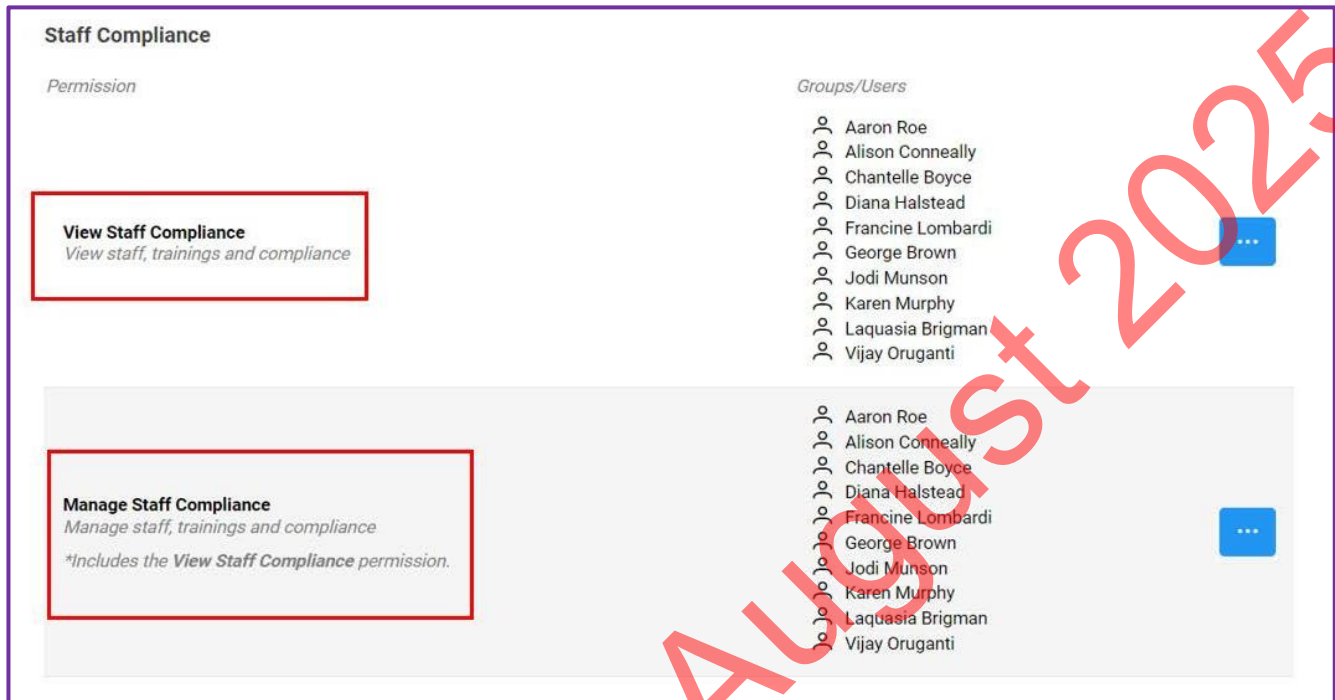
II. Children's Staff Compliance Tracker Roles

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

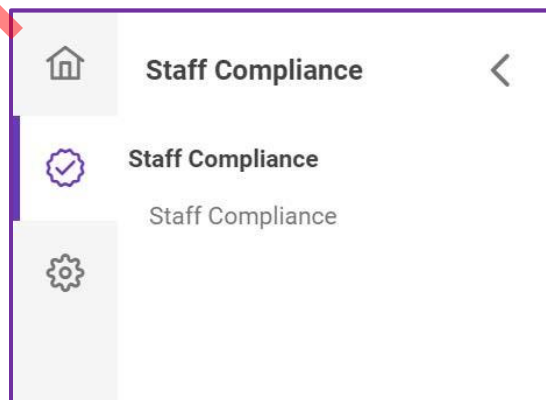
SECTION 2 – Staff Compliance Tracker Overview

A. Human Resources (HR) Personnel Permissions



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



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

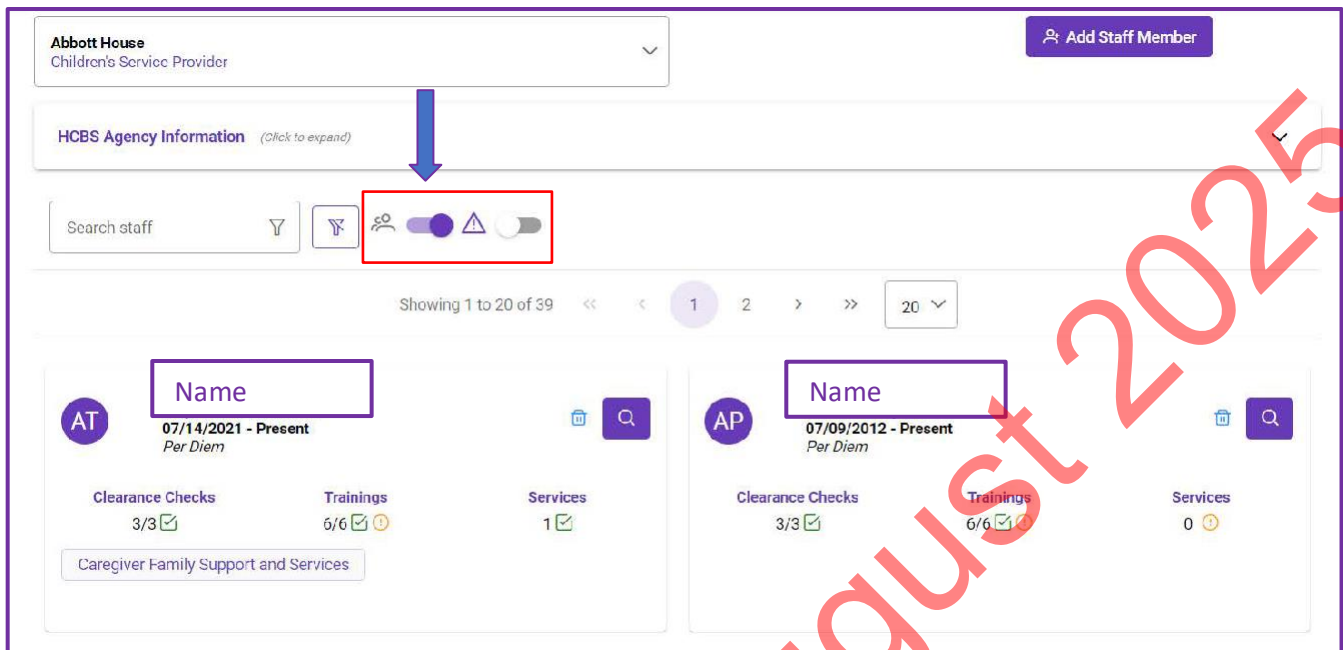
C. Add Missing Staff Information for Previous Staff System Navigation

The screenshot displays the 'HCBS Agency Information' interface for 'Abbott House Children's Service Provider'. At the top right is an 'Add Staff Member' button. Below the agency name is a search bar labeled 'Search staff' with filter icons. A pagination bar shows 'Showing 1 to 20 of 39' with page numbers 1 and 2, and a dropdown for 20 items. Two staff member cards are visible. The first card, for staff member 'AT', shows '07/14/2021 - Present Per Diem' and lists 'Clearance Checks 3/3', 'Trainings 6/6', and 'Services 1'. The second card, for staff member 'AP', shows '07/09/2012 - Present Per Diem' and lists 'Clearance Checks 3/3', 'Trainings 6/6', and 'Services 0'. A red box highlights the magnifying glass icon on the second card, with a blue arrow pointing to it from below. A large red watermark 'ARCHIVED August 2025' is overlaid diagonally across the page.


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 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 displays the Abbott House Children's Service Provider interface. At the top, there is a dropdown menu for "Abbott House" and a button to "Add Staff Member". Below this is a section for "HCBS Agency Information" with a "(Click to expand)" link. A search bar for "Search staff" is present, along with filters for staff type (person icon), status (purple circle), and alerts (triangle icon). The main area shows a list of staff members. Two staff members are visible: "AT" (07/14/2021 - Present, Per Diem) and "AP" (07/09/2012 - Present, Per Diem). Each staff member's card includes a "Name" field, a "Clearance Checks" section with a count and status (e.g., 3/3 with a green checkmark), a "Trainings" section with a count and status (e.g., 6/6 with a green checkmark and a yellow warning icon), and a "Services" section with a count and status (e.g., 1 with a green checkmark). A red box highlights the "Clearance Checks" and "Trainings" sections for staff member AT. A large red watermark "ARCHIVED August 2025" is overlaid on the image.

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:

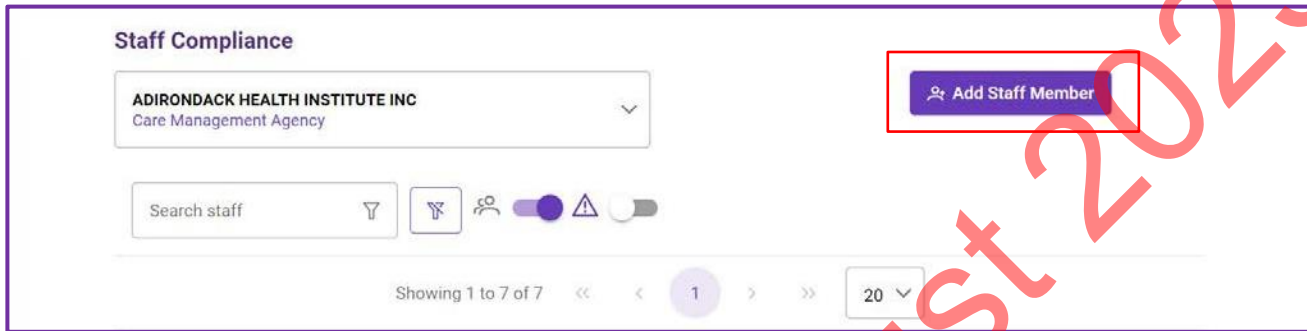
-  Pending
-  Completed
-  Incomplete Alert

F. Add HCBS Agency Information

The screenshot shows the "HCBS Agency Information" form. It includes a dropdown menu for "HCBS Agency Information" with a "(Click to expand)" link. Below this, there are five sections for different agency certifications: "DOH Licensed / Certified", "OCFS Volunteer Foster Care Agency Licensed", "OMH Licensed", "OASAS Certified", and "OPWDD Certified". Each section has a toggle switch to enable or disable the certification. A large red watermark "ARCHIVED August 2025" is overlaid on the image.

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.

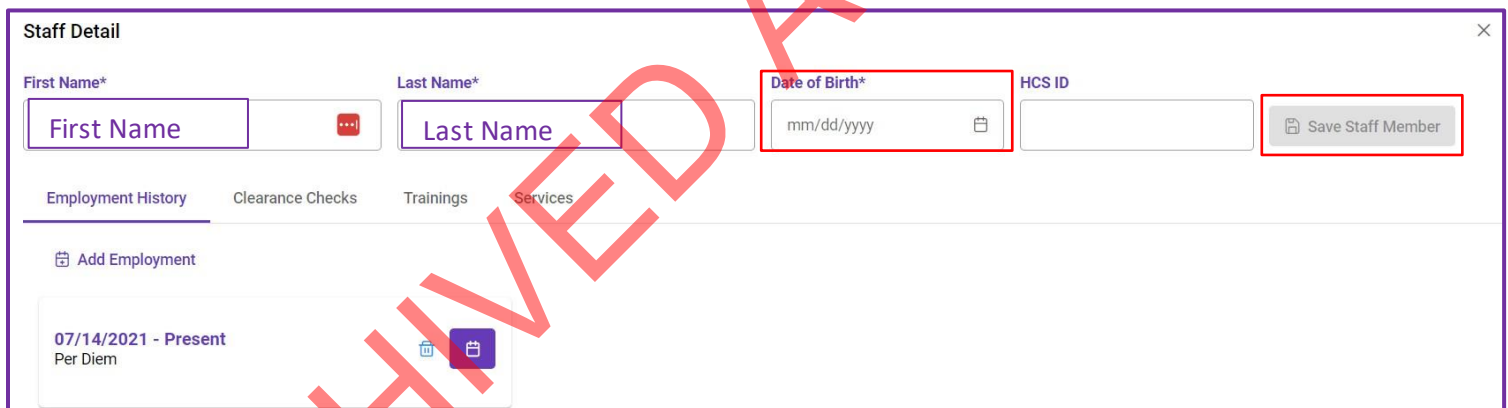
G. Add Information for New Staff



The screenshot shows the 'Staff Compliance' section of a web application. 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 labeled 'Search staff' and a series of icons including a funnel, a person, a toggle switch, a warning triangle, and a power button. At the bottom, there is a pagination bar 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*' with a placeholder 'First Name', 'Last Name*' with a placeholder 'Last Name', 'Date of Birth*' with a placeholder 'mm/dd/yyyy' and a calendar icon, and 'HCS ID'. The 'Date of Birth*' field is highlighted with a red rectangular box. To the right of the 'HCS ID' field is a grey button labeled 'Save Staff Member', which is also highlighted with a red rectangular box. Below the input fields are four tabs: 'Employment History', 'Clearance Checks', 'Trainings', and 'Services'. The 'Employment History' tab is selected. Below the tabs is a section titled 'Add Employment' with a sub-section showing '07/14/2021 - Present' and 'Per Diem' with a trash can icon and a calendar icon.

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 the 'Staff Detail' form, which has tabs for 'Employment History', 'Clearance Checks', 'Trainings', and 'Services'. The 'Employment History' tab is active, showing a table with one entry: '07/14/2021 - Present' with the role 'Per Diem'. A red box highlights the 'Add Employment' button. A red arrow points from this button to the bottom screenshot. The bottom screenshot is the 'Employment' modal form, which contains the following fields: 'Hire Date/First Day in Role*' (with a date picker set to 07/14/2021), 'Last Employment Date*' (with a date picker and the text 'Only nonactive staff (mm/dd/yyyy)'), 'Staff Type*' (a dropdown menu with 'Select Staff Type' selected), and 'Employment Type*' (a dropdown menu with 'Per Diem' selected). At the bottom of the modal are 'Save Employment' and 'Cancel' buttons. A large red watermark 'ARCHIVED August 2025' is diagonally across the entire image.

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

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

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

Clearance Date*

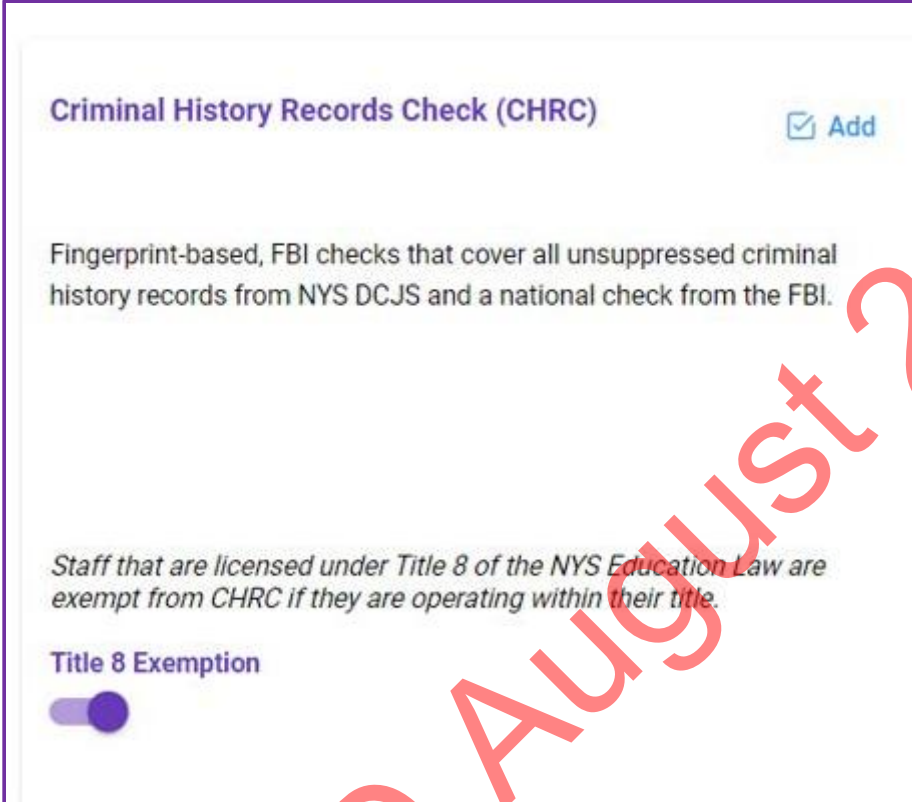
06/01/2023

[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

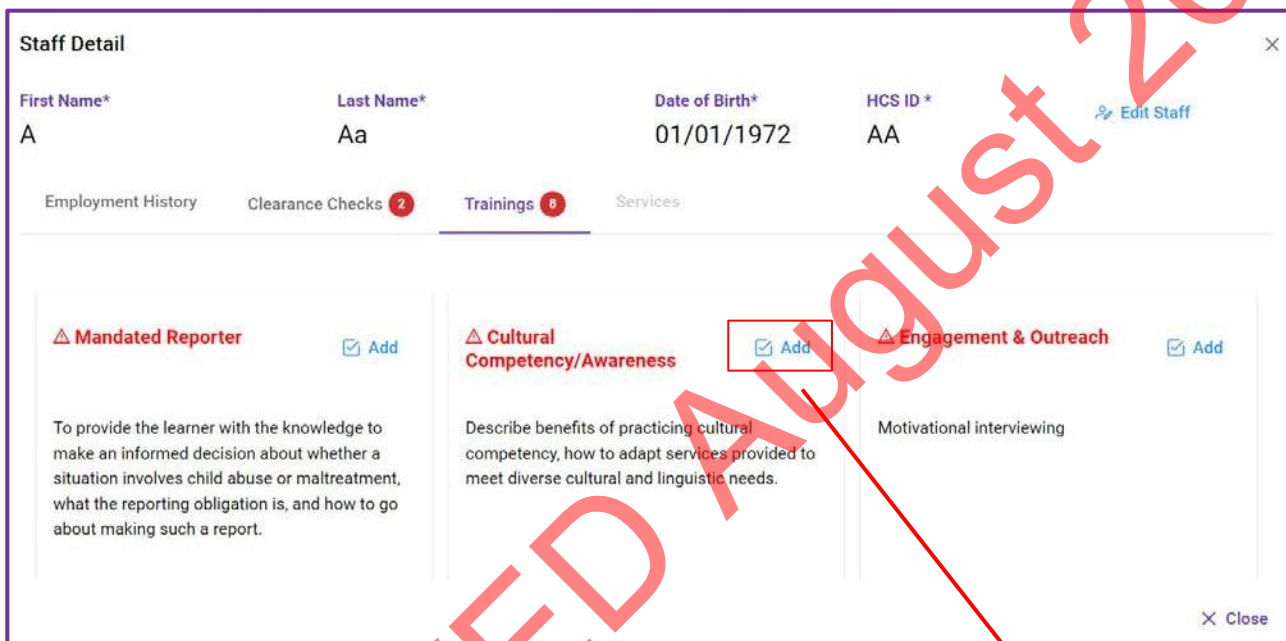
☒

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.



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

⚠ 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.

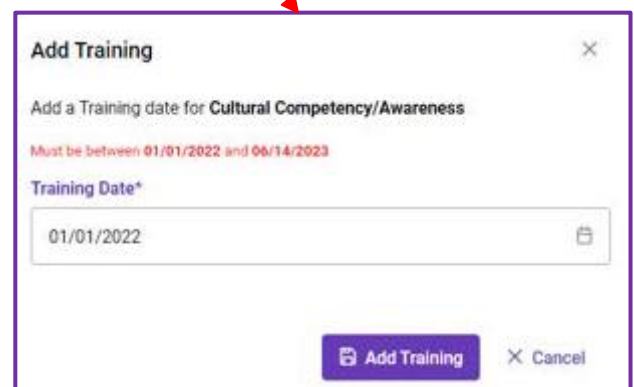
⚠ Cultural Competency/Awareness [Add](#)

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*

01/01/2022

[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.

Staff Detail

First Name*

Last Name*

Date of Birth*

HCS ID *

Edit Staff

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

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

M. Mandated Reporter Training

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

⚠ 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](#)

⚠ Mandated Reporter [Add](#)

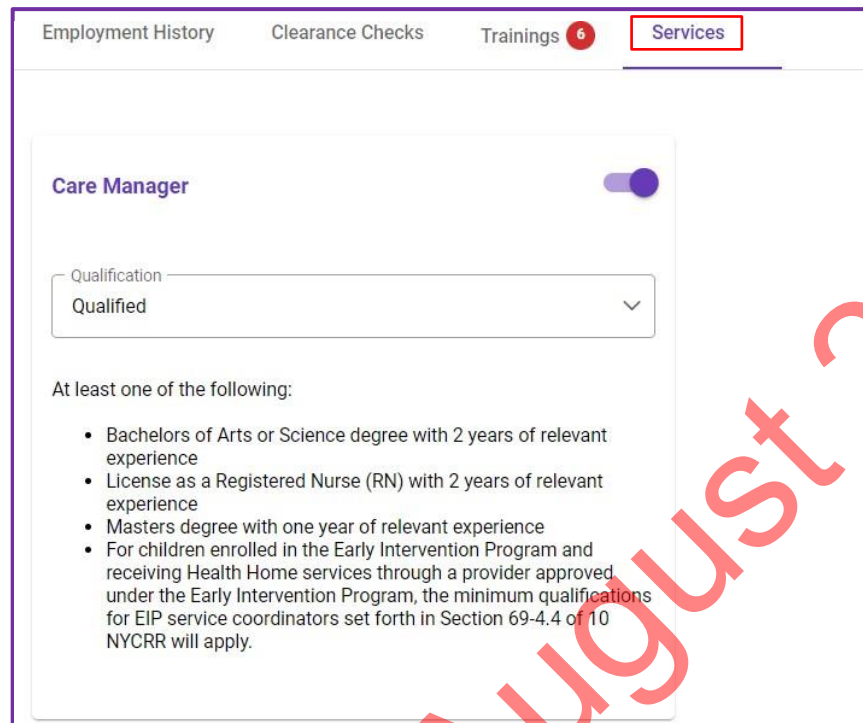
To provide the learner with the knowledge to make an informed decision about whether a situation involves child abuse or maltreatment, what the reporting obligation is, and how to go about making such a report.

⚠ 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



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, 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 the 'Caregiver Family Support and Services' interface. At the top right, a toggle switch is highlighted with a red box and a red arrow pointing to a 'Confirm Service Removal' dialog box. The dialog box contains the following text:

Confirm Service Removal [Close X]

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.

[X] No [✓] Yes

The main interface also shows a 'Qualification' dropdown menu set to 'Level 2 Staff' and two sections of qualifications:

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

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://increp.health.ny.gov/>

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