Uniform Assessment System for New York

Behavioral Health Managed Care Transition Guide

v 2016-04-06

NEW YORK STATE | Department of Health | Medicaid Redesign Team

Office of Health Insurance Programs

Division of Program Development and Management

Contents

INTRODUCTION TO THE BEHAVIORAL HEALTH MANAGED CARE TRANSITION

Welcome to the Behavioral Health Managed Care Transition, a Medicaid Redesign Team (MRT) project.

The Behavioral Health Managed Care Transition is designed to create a system that provides New Yorkers with fully integrated behavioral health and physical health services offered within a comprehensive, accessible and recovery oriented system of care. There are two Behavioral Health Managed Care models:

Mainstream MCOs: For all adults served in mainstream Managed Care Organizations (MCOs) throughout the State, the qualified MCO will integrate all Medicaid State Plan covered services for mental illness, substance use disorders (SUDs), and physical health conditions.

Health and Recovery Plans (HARPs) and HIV Special Needs Plans (SNPs): HARPs will manage care for adults with significant behavioral health needs. They will facilitate the integration of physical health, mental health, and substance use disorder services for individuals requiring specialized expertise, tools, and protocols which are not consistently found within most medical plans. In addition to the State Plan Medicaid services offered by mainstream MCOs, qualified HARPs will offer access to an enhanced benefit package comprised of Behavioral Health Home and Community Based Services (BH HCBS) designed to provide the individual with a specialized scope of support services not currently covered under the State Plan. Individuals meeting the HARP eligibility criteria who are already enrolled in an HIV SNP may remain enrolled in the current plan and receive the enhanced benefits of a HARP. HARPs and HIV SNPs will arrange for access to the benefit package of BH HCBS for members who are determined eligible.

To support the implementation of these two models and to ensure that eligible New Yorkers gain access to services and that those services are guided by an appropriate, person-centered plan of care, New York State has created two tools. The first is the **HARP & HCBS Eligibility Assessment**, which is designed to identify individuals who are eligible for participation in a HARP, as well as those in HARPs or HIV SNPs who may be eligible for BH HCBS. Note that at this time the HARP/HCBS Eligibility Assessment is currently only being used to determine BH HCBS eligibility. The second is the **Community Mental Health Assessment (CMHA)**, which is a comprehensive, research-based, and validated instrument that will guide the development of strengths-based, person-centered care planning for those receiving BH HCBS.

Staff will use the **Uniform Assessment – Community Mental Health (UA-CMH) Pilot—** the **Interim Solution** to access and use the two instruments. The UA-CMH Pilot is a web-based application that is accessed through the Health Commerce System (HCS), a secure, web portal managed and maintained by the New York State Department of Health.

The Purpose of this Guide

The purpose of this document is to provide you and your organization with the information necessary to successfully transition to the UA-CMH Pilot —Interim Solution application.

This guide is intended to be used in conjunction with the courses and resources available in the UAS-NY Training Environment.

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

This document consists of the following main topics:

■ Information about the HARP & HCBS Eligibility Assessment and the Community Mental Health Assessment.

■ Information about the Uniform Assessment – Community Mental Health Pilot Application—Interim Solution.

■ Information to assist you with implementing the UA-CMH Pilot application in your organization.

■ Information on the OMHCMH Roles.

■ Procedural and reference materials to support your organizations transition to and implementation of the UA-CMH Pilot.

Transition and Implementation Support

To assist your organization's transition efforts, the project team offers the following support options:

• Transition Support

Available for the Single Point of Contact should they have questions about or need information relevant to their organization's transition to and implementation of the UA-CMH Pilot. The UAS-NY support desk can be reached at the following:

via email: uasny@health.ny.gov
telephone: 518-408-1021 (option 2) during regular business hours

• User Support

Available to users should they have questions about using the UA-CMH Pilot application to complete the eligibility or assessment instruments. Users may contact:
Center for Information Management, Inc. (CIM), located in Ann Arbor, MI
8AM to 5PM EST/EDT

via email: helpstar@ciminc.com
telephone: 734-930-0855 (please specify that call is related to the Community Mental Health Pilot software in New York)

- Programmatic Questions

  Available to users should they have policy and regulatory-related questions about the Behavioral Health Managed Care Transition. Users may contact:

  via email: UA-CMH@omh.ny.gov

ASSESSMENT INSTRUMENTS AND IMPLEMENTATION

This section of the guide presents information related to the programs and plans that will be affected by the implementation of the HARP & HCBS Eligibility and Community Mental Health Assessments and the timeline for Rest of State (ROS) implementation.

UA-CMH Pilot Application Instruments

The UA-CMH Pilot Application, located in the HCS, contains the HARP/HCBS Eligibility Assessment and the Community Mental Health Assessment.

HARP/HCBS Eligibility Assessment: assesses functional need as well as risk of self-injurious behavior or violence. This tool is designed to establish HARP and BH HCBS eligibility.

Community Mental Health Assessment –is based on the suite of research-based and validated assessment instruments created by interRAI. interRAI is a not-for-profit research organization comprised of researchers in over 30 countries who are committed to improving health care and the quality of life of vulnerable persons through a seamless comprehensive assessment system. (www.interRAI.org); their goal is to promote evidence-based clinical practice and policy decisions through the collection and interpretation of high quality data. Their assessment instruments are used in many states and countries.

The Community Mental Health Assessment instrument is designed to incorporate the person's needs, strengths and preferences when assessing the key domains of function, mental and physical health, social support and service use. The Community Mental Health Assessment includes items to describe the performance and capacity of the person in a variety of domains, with the majority of items serving as specific triggers for care planning. The intent is to use this information to assist the individual identify their needs and consider appropriate interventions to support their desires and goals.

Laws, Regulations, Policy, and Guidance

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

The project team is working closely with program and plan directors, as well as policy-makers to ensure adequate conveyance of policy information necessary to support your organization's transition efforts. If you have policy-oriented questions, you may contact the appropriate program/plan director; you may also contact the UAS-NY support desk and we can direct you to the appropriate person.

UA-CMH PILOT APPLICATION

In order to make decisions about your organization's implementation of the HARP & HCBS Eligibility Assessment and the Community Mental Health Assessment, it is important to have a fundamental understanding of the UA-CMH Pilot application. Some key concepts are presented in the following sections.

HCS and UA-CMH Pilot & UAS-NY Training Environment Security Features

To meet Health Insurance Portability and Accountability Act (HIPAA) and Health Information Technology for Economic and Clinical Health (HITECH) Act requirements, as well as New York State laws, the UAS-NY Training Environment and the Uniform Assessment – Community Mental Health Pilot are designed with certain security features.

❑ Both the UA-CMH Pilot and the UAS-NY Training Environment are accessed through the HCS, the Department of Health's web portal. The HCS is a secure, private network designed for sharing health-related information with health organizations throughout New York State. The HCS meets all of the requirements of HIPAA and HITECH, as well as of other New York State laws.

❑ All organizations that have access to the HCS are grouped by organization type. The project team has identified the HCS organization types that require access to both applications and has authorized that access. Your organization is included in one of the organization types that has been granted authorization to access the UAS-NY Training Environment and the UA-CMH Pilot applications

❑ Each organization that is represented in the HCS has identified a person in that organization to whom HCS account and administrative responsibilities have been delegated. This person is called the HCS Coordinator. Your organization has at least one HCS Coordinator.

❑ Each person in your organization who requires access to the two applications must have their own HCS user account, and that account must be correctly associated with your organization. HCS user accounts *cannot* be shared.

❑ Both applications are role-based systems. The project team has created specific roles in the HCS, which are associated with the org types that require access to the two applications. The UA-CMH Pilot application uses these roles to govern what information may be read or edited, and what functions may be performed. Roles in the UAS-NY Training Environment determine what courses must be completed by each user.

Each person in your organization who will access these two applications must be assigned an appropriate OMHCMH role in the HCS. You will work with your HCS Coordinator, and possibly others in your organization, to review the capabilities of each role and determine the appropriate role to be assigned to each of your organization's staff. Your HCS Coordinator will perform the task of assigning the appropriate roles in the HCS to your staffs HCS accounts.

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

YOUR ORGANIZATION'S IMPLEMENTATION OF THE UA-CMH PILOT (INTERIM SOLUTION)

To directly assist all organizations affected by the implementation of the UA-CMH Pilot, the project team has prepared extensive resources to assist you.

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

In general, your organization will:

- learn about the UAS-NY Training Environment and the UA-CMH Pilot applications;

- identify and modify organizational processes that are affected by the use of the UA-CMH Pilot;

- assess and address the information technology implications of using the UA-CMH Pilot; and

- once implemented, your staff will use the UA-CMH Pilot to support and enhance care management for Medicaid enrollees with chronic conditions.

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

Implementation Activities

- ❑ Establish a leadership group and make an organizational commitment to successfully implement the UA-CMH Pilot.

- ❑ Appoint a UA-CMH Single Point of Contact to serve as the project manager for your organization's UA-CMH Pilot implementation.

- ❑ Create an internal and external communication plan to share information about your organization's implementation of the UA-CMH Pilot.

- ❑ Identify and confirm your organization's HCS Coordinator(s), or take steps necessary to establish one.

- ❑ Assess staff computer literacy and provide training as needed.

- ❑ Make available to all of your organization's UA-CMH Pilot users, the document titled "Behavioral Health Managed Care Transition: UAS-NY Support for Users." This document provides step-by-step information to help staff access the UAS-NY Training Environment and the UA-CMH Pilot applications. This guide is available in the References and Resources section of UAS-NY Training Environment.

- ❑ Review your organization's outreach and recruitment, enrollment, case management, and billing processes to identify changes that may be required; prepare to implement those changes and provide training to staff on new or changed procedures.

❑ Review your organization's current business practices (e.g. personnel, quality assurance, and management) and identify changes that may be required; prepare to implement those changes and provide training to staff on new or changed procedures.

❑ Review and prepare your organization's information technology infrastructure and identify changes that may be required to support your staffs' use of the UA-CMH Pilot; prepare to implement those changes and provide training to staff.

❑ Determine for each staff member the OMHCMH role that is appropriate for them, and assign them their role in the HCS.

❑ Promote and support staff completion of the required training available in UAS-NY Training Environment application.

Leadership and Communication

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

- A leadership team that is supported by executive management sponsorship will yield effective organizational change.

- Open and clear internal and external communication will ensure staff, subcontractors, partners, and other key stakeholders have the information they need to support your organization's successful implementation of the UA-CMH Pilot.

UA-CMH Pilot Implementation Leadership Team

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

❑ **Executive Sponsorship**: This ensures adequate support for other members of the leadership team who may not have the direct authority to facilitate change within your organization.

❑ **UA-CMH Pilot Single Point of Contact:** The UA-CMH Pilot Single Point of Contact (SPOC) will serve as the project manager and change leader who will support and guide all of your organization's transition activities. The UA-CMH Pilot SPOC will:

- serve as the project manager for your organization's implementation of the UA-CMH Pilot;

- be the single point of communication with project team;

- provide periodic updates to internal and external stakeholders on the organization's vision for, and benefits of, using the UA-CMH Pilot;

- work collaboratively with your organization's HCS Coordinator to ensure appropriate UA-CMH Pilot role assignments in the HCS for all staff who will use the UA-CMH Pilot;

- keep track of all aspects of the implementation and monitor your organization's progress;

- creatively address issues and concerns as they are identified by staff;

- build a culture of teamwork into all aspects of the transition;

- monitor and support staff's timely completion of the UA-CMH Pilot training; and

- ensure additional training is created and delivered to staff related to business practices that may have changed due to the implementation of the UA-CMH Pilot.

❑ **HCS Coordinator**: The HCS Coordinator(s) for your organization has been delegated authority to perform select administrative activities using the Department of Health's web portal. Their inclusion in the leadership team is critical; an inadequately informed HCS Coordinator could result in the incorrect assignment of the UA-CMH Pilot roles, which could further result in an unnecessary data breach.

❑ **Knowledge Leaders**: Knowledge leaders are staff who are knowledgeable about and involved in your organization's assessment process. Their involvement will ensure that your organization's business processes related to managing assessment activities is adequately represented.

❑ **Information Technology**: Inclusion of IT leadership will ensure your staff have adequate access to, and support for, the online as well as the offline application.

❑ **Other Organizational Representation**: Many functions within your organization may be affected by the implementation of the UA-CMH Pilot. It will be important for you to identify and engage those staff responsible for those functions, and encourage or require their involvement on the leadership team.

Internal Communication Plan

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

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

- What is the role of internal communication in your organization's implementation of the UA-CMH Pilot?

- What are the roles and responsibilities of your UA-CMH Pilot implementation leadership team in communicating to your organization's staff?

- What does your organization currently know about the UA-CMH Pilot? What needs to change in their current perceptions, attitudes, and access to basic information?

- How can you best provide staff with accurate and up-to-date information about the UA-CMH Pilot and your implementation plan?

- What do staff need to think, feel and do in order to embrace and successfully adopt the UA-CMH Pilot?

- What are the communication activities you are going to need to perform, and who will be responsible for performing them?

- What strategies will you employ to ensure that communication is bi-directional?

- What resources do you need to reach your goals?

External Communication Plan

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

Creating an external communication plan will facilitate this synchronization and ease your transition. Communicate with your partners, subcontractors, and specialists to convey the date (July 1, 2016) you will begin conducting assessments using the UA-CMH Pilot.

It may also be useful to convey who in your organization will be trained; what training they must complete; the date they must complete the training; when they will have computers available; and when you as an organization will begin using the UA-CMH Pilot.

Organizational Considerations

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

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

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

Considering Your Organization's Business Process

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

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

- How is program delivery data currently used by your organization? What type of information is used? What information is available in the UA-CMH Pilot to support current data analysis?

- The UA-CMH Pilot requires that all staff who access the UA-CMH Pilot have a unique HCS account and be assigned a specific role in the UA-CMH Pilot. How will changes in staff status be communicated to your organization's HCS Coordinator(s)? Who will determine the appropriate OMHCMH roles? Who will ensure that new staff have appropriate access?

- How will the organization support staff completion of required and recommended online training? What local training will be conducted to ensure staff understand changes or

new local processes or procedures? How will supervisors support their assessors as they transition to the UA-CMH Pilot?

- What internal supports will be implemented to provide technical support to staff?

- Will data from the UA-CMH Pilot be used by your organization to support other internal systems or processes? How will that occur? Who will be responsible for this process? How often will this occur?

- How is assessment data used to support planning, management, or other administrative functions? How will your organization obtain and use data from the UA-CMH Pilot to support these business processes?

- Who will be responsible for reviewing the quality of the UA-CMH Pilot data? Who will build institutional knowledge of the UA-CMH Pilot and to proactively use the UA-CMH Pilot data to support management and improvement of quality and care?

Information Technology Support

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

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

As a summary, the technical specification materials cover:

- which browsers and browser versions are supported by the UA-CMH Pilot;

- what browser settings, extensions, and plug-ins must be established to support using the UA-CMH Pilot application and the UAS-NY Training Environment;

- what level of internet access (including bandwidth) is required to support using the UA-CMH Pilot application and UAS-NY Training Environment (this is encapsulated in a general system architectural and description of training courses and is provided to support thorough understanding); and

- what network obstacles may need to be addressed in order for your users to access the UA-CMH Pilot application.

Promoting Staff Computer Proficiency

To conduct assessments using UA-CMH Pilot application and to complete the web-based UA-CMH Pilot training, your staff will need to be proficient and comfortable using computers and the internet. Ensuring this proficiency is your organization's responsibility; this cannot be overstated.

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

❑ **Computer Basics:** This course introduces you to the fundamentals of computing, explains the components of a computer, explores operating system basics, and shows you how to use a mouse and a keyboard.

❑ **The Internet, Cloud Services, and World Wide Web:** This course shows you how to connect to the Internet, browse Web pages, navigate Web sites, use search engines, and exchange e-mail with others.

❑ **Productivity Programs:** The course teaches you how to choose the right software for your project. You will learn the fundamentals of word processing, spreadsheets, presentation software, and databases.

❑ **Computer Security and Privacy:** This course explains the ethical and legal issues related to Internet usage.

These resources may be accessed at:

http://www.microsoft.com/about/corporatecitizenship/citizenship/giving/programs/up/digitalliteracy/default.mspx

OMHCMH Roles

This section will provide a high level presentation of the OMHCMH Pilot roles.

Description of OMHCMH Roles

There are two available OMHCMH roles, which are described below. Both roles are available to Health Homes and Health Home Care Management Agencies. Managed Care Organizations will only have access to the Manager role.

Role	Description
OMHCMH-01 Assessor	Ability to initiate, conduct, and sign assessments.
OMHCMH-02 Manager	Ability to review assessments and access reports.

Considerations for OMHCMH Role Assignment

Prior to assigning an OMHCMH role, you should consider the following:

- What are the staff person's general responsibilities related to care management, tracking, outreach and enrollment, billing, and assignment acceptance? Will staff be required to enter or edit data or will they only be required to view or read data?

- What level of access to data protected by HIPAA, HITECH and other New York State laws does the staff person require?

- What are the programmatic requirements or regulations for staff related to the completion a particular function? What experience, certification, or background must staff have to perform these functions? Is the role consistent with these requirements?

- What is the one most appropriate role for the staff member? Are multiple roles required? If yes, each time the staff person accesses the UA-CMH Pilot, the staff person must carefully select the appropriate role to perform the required responsibilities. This may necessitate additional staff training.

- Based on the assigned OMHCMH roles, will the organization be able to perform all required responsibilities within the UA-CMH Pilot application?

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

Qualification and Requirements for Assessors

Health Home Care Managers that perform NYS Community Mental Health (CMH) assessments or reassessments must meet the qualifications described below.

- ☐ **Education**:
  - ✓ A bachelor's degree in any of the following: child & family studies, community mental health, counseling, education, nursing, occupational therapy, physical therapy, psychology, recreation, recreation therapy, rehabilitation, social work, sociology, or speech and hearing; OR
  - ✓ NYS licensure and current registration as a Registered Nurse and a bachelor's degree; OR
  - ✓ A Bachelor's level education or higher in any field with five years of experience working directly with persons with behavioral health diagnoses; OR
  - ✓ A Credentialed Alcoholism and Substance Abuse Counselor (CASAC).
- ☐ **Experience:**
  - ✓ Two years' of experience (a Master's degree in a related field may substitute for one year's experience) either:
  - ✓ Providing direct services to persons diagnosed with mental disabilities, developmental disabilities, alcoholism or substance abuse; OR
  - ✓ Linking persons who have been diagnosed with mental disabilities, developmental disabilities, alcoholism or substance abuse to abroad range of services essential to successfully living in a community setting.
- ☐ **Training and Supervision:**
  - ✓ Specific training for the designated assessment tool(s), the array of services and supports available, and the client-centered service planning process. Training in assessment of individuals whose condition may trigger a need for HCBS and supports, and an ongoing knowledge of current best practices to improve health and quality of life.
  - ✓ Mandated training on the New York State Community Mental Health Assessment instrument and additional required training.
  - ✓ Supervision from a licensed level clinician with prior experience in a behavioral health clinician or care management supervisory capacity.

The State may waive such qualifications, on a selected basis and under circumstances it deems appropriate which may include care manager capacity issues. The waiver request form can be found at
http://www.health.ny.gov/health_care/medicaid/program/medicaid_health_homes/harp_hiv_snp.htm.

HCS Coordinators

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

Creating HCS User Accounts

Every user of the UAS-NY Training Environment and the UA-CMH Pilot application is required to have their own individual HCS user account. It is not permissible for accounts to be shared among users. You will work with your organization's HCS Coordinator to create HCS user accounts for each staff member in your organization who requires access to the UA-CMH Pilot application. Your HCS Coordinator should be familiar with the procedures for creating new HCS user accounts. Please note, a paperless process to create HCS User Accounts is available, making account creation a very simple task. If your HCS Coordinator needs assistance in understanding tasks associated with their role, they should contact the Commerce Accounts Management Unit (CAMU) at 866-529-1890.

Trust Level 3 Assurance

In accordance with New York State Information Technology Policy No: NYS-P10-006: *New York State Identity Trust Model*, updated: 10/05/2010, and in conjunction with a corresponding data classification of UAS-NY data, access to the UAS-NY Training Environment and UA-CMH Pilot application requires assertion of Trust Level 3 (TL3) assurance for *all* users who will access the UAS-NY Training Environment and the UA-CMH Pilot.

TL3 assurance is enforced via HCS user account credentials. *All of your organization's users' HCS accounts must be credentialed to TL3 assurance in order to use both applications.*

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

To establish the TL3 assurance credential for your organization's UAS-NY users, they will each need to possess a New York State identification card issued by the New York State Department of Motor Vehicles. This must be either a NYS driver's license or a NYS non-driver photo identification card. Your HCS Coordinator will use this ID card to establish the TL3 credential on each user's HCS account.

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

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

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

HCS Coordinators are not permitted to establish Trust Level 3 assurance for their own account. Each organization in the HCS has named a Director as well as an HCS Coordinator, and both of these individuals have authority to verify trust level for users. If your

organization's Director and HCS Coordinator is the same person, you must establish a second HCS Coordinator to perform the trust level assurance for each other.

The section of this document titled Establishing Trust Level 3 Assurance on page 17 includes step-by-step instructions for establishing the TL3 assurance credential for your users. Be sure to share this procedural information with your HCS Coordinator(s)

Assigning OMHCMH Roles

Your organization's HCS Coordinator will take the steps necessary to assign an OMHCMH role to each user's HCS account in your organization. Step-by-step instructions for assigning roles is presented the section titled Assigning OMHCMH Roles on page 19. *Be sure to take care when assigning roles to your staff.* In most cases, your organization's HCS Coordinator will assign the OMHCMH roles only to staff employed by your organization.

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

Support Your Users

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

The reference section *Accessing* the begins on page 21 provides step-by-step procedures for accessing both applications within the HCS. You should give copies of these reference to your users. This reference will help staff become familiar and comfortable with the HCS. In addition, this reference points staff to available HCS training resources.

PROCEDURAL AND REFERENCE MATERIALS

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

Resource Name	Description
Establishing Trust Level 3 Assurance	Step-by-step instructions for establishing HCS user account Trust Level 3 assurance. Page 16.
Managing OMHCMH Role Assignments	Step-by-step instructions for managing and assigning OMHCMH roles in the HCS. Page 19.
Accessing the UAS-NY Training Environment and the UA-CMH Pilot application	Step-by-step instructions to access both applications. Page 21.
Information Technology Specifications	Technical information to support your Information Technology staff. Page 24.

Establishing Trust Level 3 Assurance

The following procedure will establish Trust Level 3 assurance credentials on an HCS user account. This is **required** for users to access the UAS-NY Training Environment and the UA-CMH Pilot application. You must be an **HCS Coordinator** to access the tool used in the following procedure.

It is important to understand that a person may be affiliated with multiple organizations in the HCS, but only one organization will serve as the user's primary organization. Only the primary organization can perform the Trust Level 3 assurance validation.

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

■ Choose the organization that you wish to manage and then click on the "select" button.
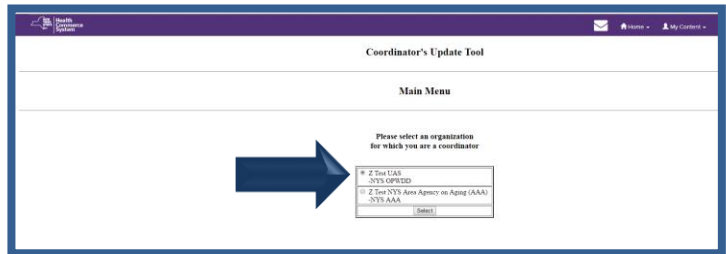
■ Click on the "Manage People" tab.

A list of HCS users within your organization will display.
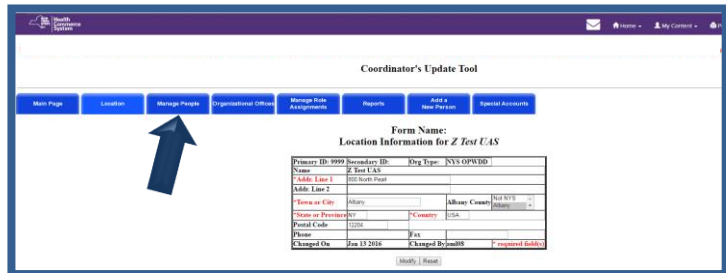
■ Click on the person's name for the account you will establish Trust Level 3 assurance.

Information for the selected user will be displayed.
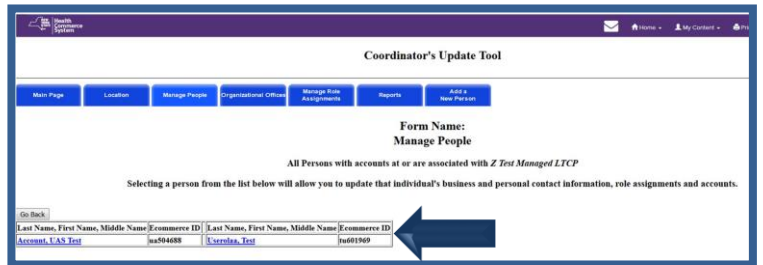
■ Click on the "Verify Trust Level" tab.

- ■ Review the photo on the New York State identification and confirm that it matches the person who has presented it to you.

- ■ Enter the requested information from the New York State identification card (NYS Driver's License or Non Driver ID) exactly as it appears on the card.

  Note: The person's name as specified in their HCS user account must match *exactly* the name as specified on their New York State identification card. If it does not, the validation will fail; see Potential Errors on page 18 for corrective action.

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

- ■ Select "Submit."

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

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

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

Trust Level for Sylvia O'Brien: 0

How to Grant Trust Level 3 Access
- The user must be in person with their NYS driver license or Non-driver Photo ID available.
- Enter the user's information from their NYS driver license or Non-driver Photo ID in the NYS DMV Identity Verification fields below.
  The Last and First name fields must match what is on the user's driver license or non-driver photo ID.
  If it does not match, contact 1-866-529-1890 option 1 and request the name be updated to match the driver license name.
- All fields marked with an asterisk (*) are required.
- Check the box to attest the user's identity was verified, and click **Submit**

Only **successful** verifications will acquire Trust Level 3.

NYS DMV Identity Verification

Last Name:	O'Brien
First Name:	Sylvia
NYS DMV ID or Non-driver Photo ID: *	
Date of Birth (YYYYMMDD): *	
Gender (M/F): *	
ZipCode: *	

☐ * I attest by checking the box that the user's identity was verified and approved for Trust Level 3 access.

Submit Reset

Trust Level

Trust Level for Brian   **3**

Trust Level Information

Last Name:	
First Name:	Brian
DMV Id: *	
Date of Birth (YYYYMMDD): *	
Gender (M/F): *	
ZipCode: *	

☐ * I confirm by checking this checkbox that the user's identity has been verified and approved for Trust Level 3 access.

Submit

Potential Errors

Below are some potential issues that you may encounter.

Issue	Possible Resolution
Identification is not confirmed by NYS DMV.	Ensure that you entered the information accurately into the system.
User's name in HCS does not match the name on the user's NYS Identification.	The user must contact CAMU at 866-529-1890, option 1 to have their name corrected to match their NYS Identification. If the person's name is not correctly specified on their NYS identification card, the person must contact NYS DMV to correct their information.
Person does not have a valid NYS Driver's license or NYS Non-Driver's Photo ID.	The person must go to a NYS DMV office to get a valid NYS identification card.
Person's name does not display in the Managed People list of users.	First check to ensure the person has a valid HCS account. Determine the person's primary organization. If your organization is not the person's primary organization, the staff person must either contact CAMU to request their primary organization be changed or the person must contact the HCS Coordinator at the designated primary organization to have that organization's HCS Coordinator perform the TL3 validation.

Assigning OMHCMH Roles

Your organization's **HCS Coordinator** must follow the procedure described below to assign OMHCMH roles to users in the organization. Only an HCS Coordinator has access to the Coordinator's Update Tool.

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

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

  Note: You may be the HCS Coordinator for multiple organizations in the HCS. If this is the case, be sure you select the correct organization before assigning the OMHCMH roles. Assigning an OMHCMH role to the wrong organization will impact staff access to case files and compromise your organization's reporting ability.
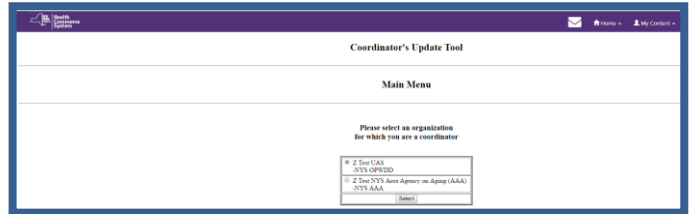
- Click on the "**Manage Role Assignment**" tab.

  A list of roles will display.
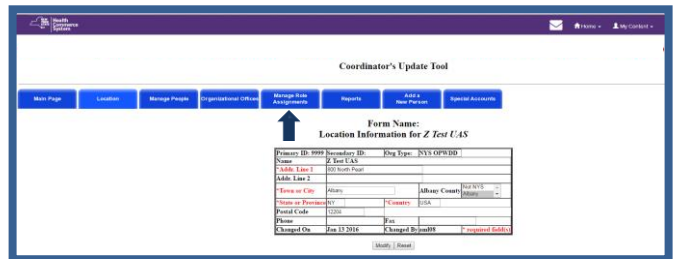
- Click "Modify" next to the role you want to assign to a user: either OMHCMH 01 or OMHCMH 02.

  The Role Information for the selected role will be displayed.
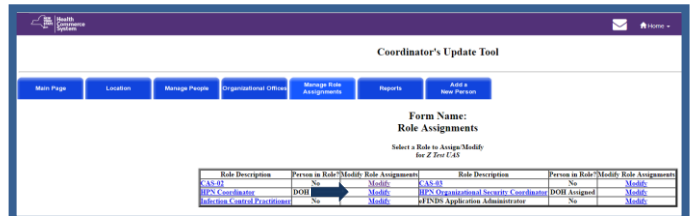
■ Check the box next to each user's name to whom you want to assign the selected OMHCMH role, and then click on "**Add Role Assignment**."

> *Note:* Before assigning an OMHCMH role, you must ensure that the access and authority granted for the role is consistent and appropriate for the staff person.

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

When the list of user names is displayed, accounts that are not active have an "NA" after them. Do not assign roles to these accounts; the role will not "work."

> *Note:* Searching the directory enables you to locate *any* person who has an HCS account, not just persons who work for your organization. Review the section titled *Assigning OMHCMH Roles* to ensure you understand the implications of provisioning roles to users whose HCS accounts were not created by your organization.

If the user's name does not appear after you conduct a Directory Search, then user does not have a HCS account. You must create an account for them before they can be assigned to an OMHCMH role.
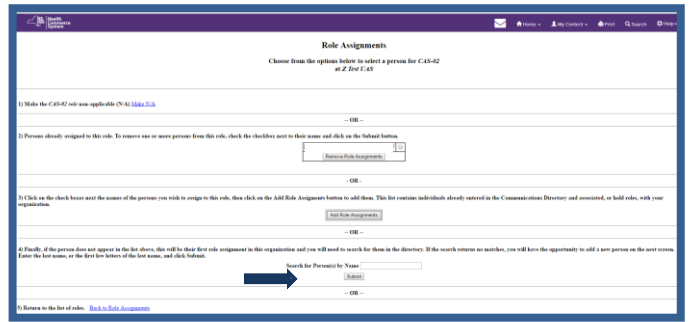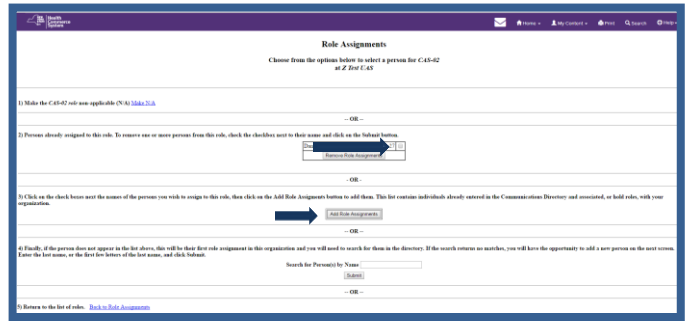
Accessing the HCS and UAS-NY Training Environment

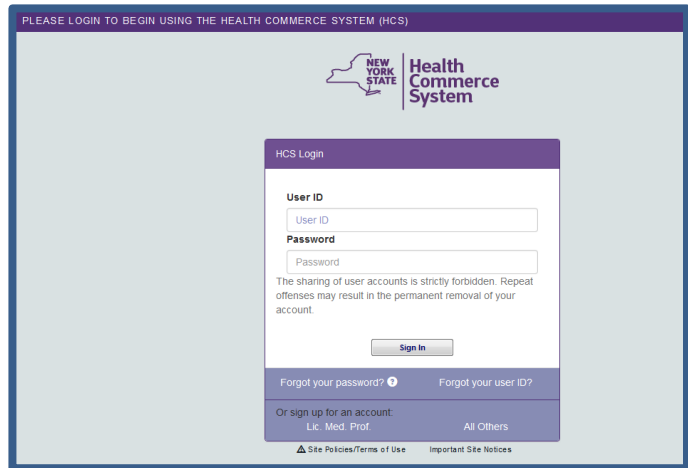The following instructions explain how users will access the HCS and the UAS-NY Training Environment.

Individual HCS accounts are required for all users to access the UAS-NY Training Environment.

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

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

This will bring you to the login page.

Note: https

■ At the login page, enter your HCS username and password.

You will be directed to the HCS Portal after logging in.

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

- Select "My Content"
- Select "Documents by Group"
- Select "View All Document Groups"
- Select "Coordinator"
- Select "HCS Coordinator"

■ To access the UAS-NY Training application:

- Select "My Content"
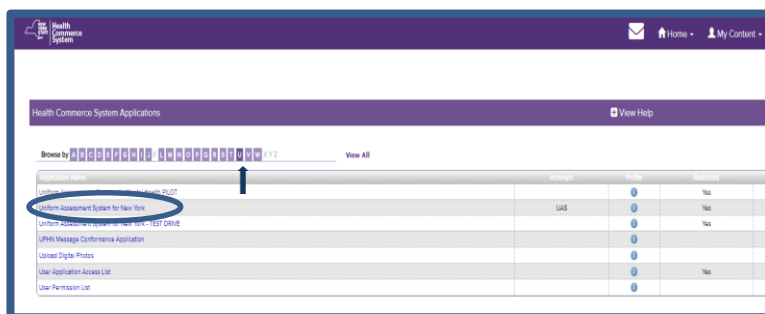- Select "All Applications"

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

Applications starting with the letter A will be displayed.

■ Click on the letter U.

A list of HCS applications beginning with U will be displayed.

■ Click on Uniform Assessment System for New York.

A separate window will now open up and contain the UAS-NY Training application.

NOTE: Before staff access the UA-CMH Pilot application, supervisors must collect a screen shot of the Organization Role Selector page from all users, which documents that all required courses have been completed. In addition, supervisors should collect a copy of the 1500 Course Completion Certificate as well. Staff should not access the Interim Solution until proof of all required courses is provided.

Accessing the UA-CMH Pilot —The Interim Solution Application

The following instructions explain how users will access the UA-CMH Pilot application.
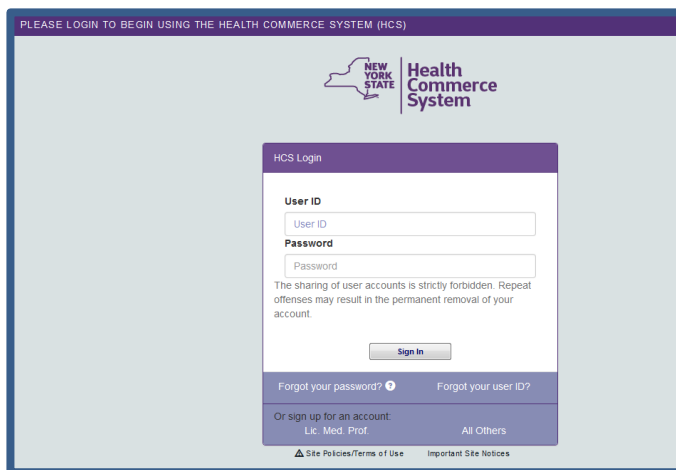
Individual HCS accounts are required for all users to access the UA-CMH Pilot application.

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

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

This will bring you to the login page.

Note: https

■ To access the UA-CMH Pilot application:

- Select "My Content"
- Select "All Applications"

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

Applications starting with the letter A will be displayed.

■ Click on the letter U.

A list of HCS applications beginning with U will be displayed.
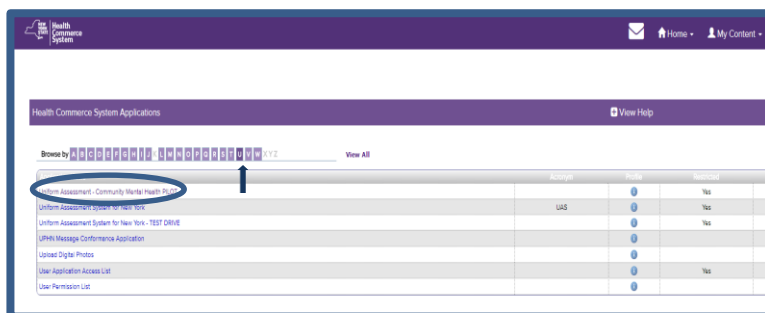
■ Click on Uniform Assessment – Community Mental Health PILOT.

A separate window will now open up and contain the UA-CMH Pilot application.

- NOTE: Only access the UA-CMH Pilot application once all UAS-NY required training is completed in the UAS-NY Training Environment.

Information Technology Specifications

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

Access to the UA-CMH Pilot

The UA-CMH Pilot application is accessed by first logging into the Health Commerce System. Users will then navigate to the UA-CMH Pilot application. This is a web-based application and requires internet connectivity.

Health Commerce System (HCS)

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

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

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

UAS-NY Training Environment and UA-CMH Pilot Applications

Users who access the UAS-NY Training Environment and the UA-CMH Pilot applications require no special security measures beyond HCS access protocols and your organization's policies regarding access to HIPAA and HITECH protected data.

The following table presents the technical requirements for using both applications.

UAS-NY TRAINING ENVIRONMENT & UA-CMH Pilot Application Technical Requirements				
Hardware Specifications	**Operating Systems**	**Supported Browsers**	**Settings**	**Software Requirements**
Minimum hardware requirement to run the operating system Internet connection 1024 x 768 screen resolution (*min*) Speakers and/or headphones	MS Windows 7 MS Windows 8 MS Windows 10	Internet Explorer 10 Internet Explorer 11 Firefox (latest) Chrome (current)	128-bit encryption (minimum) Browser set to accept cookies Pop-up blocker disabled JavaScript enabled Encryption Set to TLS 1.1 or later	Java Adobe Flash Player Adobe Reader

Paperless HCS User Account

NEW! Paperless HCS User Accounts for non medical professionals OR all those needing access to UAS. The Health Commerce System (HCS) user account request has gone paperless! No more signatures and notary. Applying for an HCS user account is as simple as filling out an online form and having a NYS DMV Driver License or NYS DMV Non-driver Photo ID. People that do not have a NYS DMV Driver License or NYS DMV Non-driver Photo ID can still apply for an HCS user account using the existing process which requires signatures and a notary. Please see your HCS Coordinator to apply.*

A. User steps...

What are the steps?

To obtain an account, you must:
1. Register for an account
2. Enroll your account on the HCS. This step must be done with your HCS Coordinator

Important Information!

To enroll using the paperless process, you must have a NYS DMV Driver License or NYS DMV Non-driver Photo ID.

Where do I register?

1. Open your web browser and enter this website in the address bar

    https://apps.health.ny.gov/pub/usertop.html

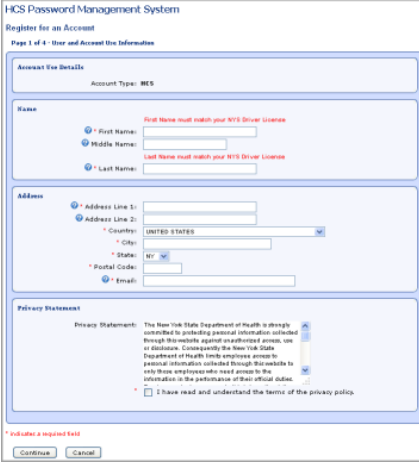   **Register only once!**

2. Click '**Register** for an account'
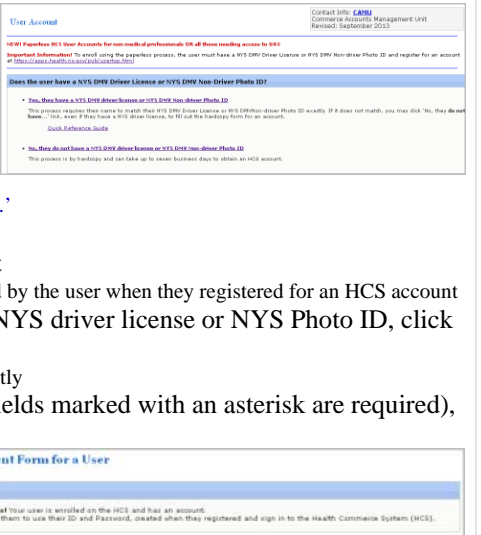
How do I register?

1. Complete the Name, Address and Policy Statement sections, and click **Continue**
    NOTE: Your name must match what is on your NYS driver license or NYS Photo ID
2. Request a userid and create a password, click **Continue**
3. Answer at least six of the 27 secret question, click **Register**
4. Confirm your account information, and click **Confirm**
5. Print your NYSDOH Account Registration Completion information, click **OK**
6. You will receive a confirmation email that your userid was created
7. See your *HCS Coordinator with your NYSDOH Account Registration Completion printout and your NYS DMV Driver License or NYS DMV Non-driver Photo ID

B. Coordinator steps...

How do I enroll a user with the paperless process?

1. Log on the HCS
2. Click **Coord Account Tools - HCS** under My Applications
    * Counties click Coord Account Tools—LHD
3. Click **User** under 'Request an account for a…'
4. Click **Yes, they have a NYS DMV driver license or NYS DMV Non-driver Photo ID**
    NOTE: A NYS driver license is required for the paperless process. If they do not have one, click '**No, they do not** …'
5. Select your organization in the list
6. Enter the user's HCS ID, click **Submit**
    NOTE: This information must be supplied by the user when they registered for an HCS account
7. Enter the user's information from the NYS driver license or NYS Photo ID, click **Submit**
    NOTE: The information must match exactly
8. Enter the user's contact information (fields marked with an asterisk are required), click **Submit**
9. Your user is enrolled on the HCS. Please instruct them to use their userid and password they created and sign in the HCS (**https://commerce.health.state.ny.us**)

C. User steps...

Important Information!

**Newly enrolled users will receive an email.
Existing users will not receive an email.**

How do I sign on the HCS?

Once your HCS Coordinator completes their steps above, you will be enrolled on the HCS and receive a congratulations email. Do the following:
1. Read the 'Document 2 SAUP' for rules and responsibilities
2. Click the HCS website link (or copy and paste it in your browsers address bar), and enter your userid and password that you created when registering

HCS Portal: Delete Account

Who is responsible for deleting an account?

The HCS Coordinator at the user's organization.

Why do I delete an account?

To uphold the integrity of the Health Commerce System and prevent security breaches.

When do I delete an account?

When the user no longer is employed at your organization, or the user had a change in jobs within the organization and no longer requires HCS access.

Where do I find the Delete Account tool?

1. Click the **Coordinator's Update Tool** in My Applications
2. Select your organization (if it is not already selected) and click **Select**
3. Click **Manage People**
4. Click the user's name link
5. Click **Delete Account.**
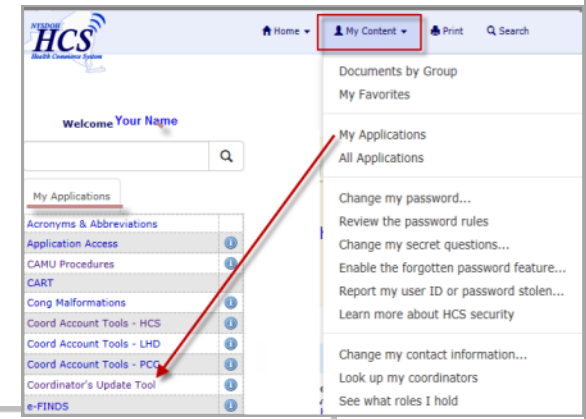
What are the new enhancements to Delete Account?

The Delete Account feature in the Coordinator's Update tool has been streamlined to make it easier for coordinators to completely remove people from the Communications Directory and immediately revoke Health Commerce System (HCS) access. Previously it could take up to 24 hours to revoke a user's access to the HCS, under the new system, all roles are removed and the user's HCS access is terminated immediately. Also, where coordinators were once responsible for manually removing users whose accounts had been deleted from the Manage People list, clicking delete account will now immediately and completely remove the person from the Communications Directory. Please use the delete account feature with care. There is no undo, if an account is deleted in error, the coordinator must file a new account request to restore user access.

Immediately upon clicking **Delete User**, the account will be deleted and the user will

- be removed from any Communications Directory roles
- be removed from the Manage People list (if applicable)
- no longer be able to access the HCS

⚠️ **CAUTION:** Deleting an account cannot be undone. Account deletion is immediate and permanent. If an account is deleted in error, a new account request must be completed to restore access to the Health Commerce System.

How do I delete an account?

Once you have navigated to the Delete Account tab using the above steps,

1. Click **Delete User**

What do I do if I still see people with 'No account on file' in my Manage people list?

To remove unwanted records with 'No account on file', do the following:

1. Click the user's name link
2. Click **Delete Account**
3. Click **Remove User from Manage People List**

What do I do if I erroneously deleted a user?

The HCS Coordinator must generate another HCS account request.

HCS Portal: Trust Level
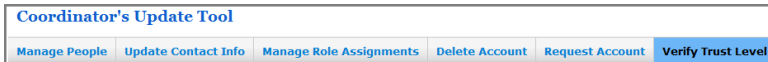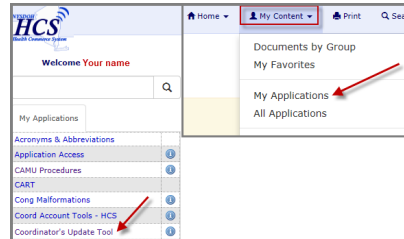
What is a Trust Level?

A **Trust Level** is the level of confidence that a person's identity has been verified. There are two trust levels. All HCS users are currently a Trust Level 2. Trust Level 3 will allow successfully identified users access to specific secure applications.

What does the Trust Levels mean?

Trust Level	Description
2	Some confidence in the validity of a person's identity. The identity level has been verified by a notary.
3	High confidence in the validity of a person's identity. The identity level has been verified by a NYS driver license or NYS Non-driver Photo ID.

Where do I find the Trust Level tool?

1. Click **Coordinator's Update Tool** in My Applications
2. Click to option button for your organization
3. Click Select
4. Click **Manage People (**blue tab)
5. Click the user's name link
   - If you do not see the user in your Manage People list, then the user must contact their primary***** organization's Coordinator to have their trust level elevated
6. Click **Verify Trust Level**

Note: You will not be able to upgrade the trust level for the following:
- 'no account on file' records
- your own account.

   * The primary organization is the original facility or agency that requested the user's HCS account

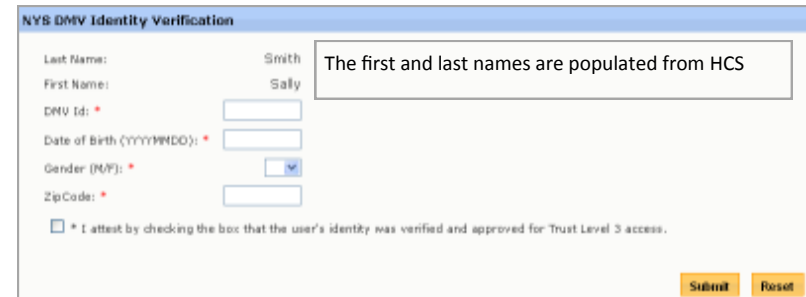## What is needed to upgrade to Trust Level 3?

To upgrade an HCS user's account to Trust Level 3, the user must have:
1. an HCS account
2. a NYS driver license or NYS Non-driver Photo ID.

How do I Grant Trust Level 3 Access?

1. The user must appear <u>in person </u>with their NYS driver license or Non-driver Photo ID available
2. Open the **Verify Trust Level** tool (See Where do I find the Trust Level tool?)
3. Enter the user's information from their NYS driver license or Non-driver Photo ID in the NYS DMV Identity Verification fields

The Last and First name fields must be an **exact match** to what is on the user's driver license or non-driver photo ID exactly. Names with spaces, apostrophes, or hyphens in HCS will have to be modified as NYS DMV does not use these characters. If it does not match, contact 1-866-529-1890 option 1 and request the name be updated to match the driver license name.

4. Complete all fields marked with an asterisk (*)
5. Check the box that you attest the user's identity was verified
6. Click **Submit**

Only **successful** verifications will acquire Trust Level 3.