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1 Children’s Services Capacity Tracking System Purpose and Overview

The Children’s Services Capacity Tracker is a newly designed system used by Children’s Waiver Home and Community Based Services (HCBS) Providers to report information regarding the number of children receiving HCBS, the potential available vacancies, and to view children on a waitlist by service at the county level. For HCBS providers, it is required that capacity of HCBS by county and service be reported in the system. The Children’s Services Capacity Tracker System is located within the Incident Reporting and Management System (IRAMS), which is housed in a secure platform of the Health Commerce System (HCS). More information regarding the IRAMS system can be found here https://www.health.ny.gov/health_care/medicaid/redesign/behavioral_health/children/irams.htm

The purpose of the Children’s Services Capacity Tracker is to allow for HCBS providers to:

- Report waitlist by service, by county, and by provider at a member level
- Indicate the number of members receiving services by service and provider
- Collect availability of providers by service and by county
  - The provider availability information will be linked to the current public facing map on NYS DOH Website. Children and Family Treatment and Support Services/Home and Community Based Services (ny.gov)
  - This will assist in directly driving children and families to providers with capacity for the services they need

Waitlist information also indicates if the same child/youth is shown as waiting for services among multiple providers. If a child is removed from one of the waitlists, the system will notify the other providers that the child/youth was removed and will indicate the reason.

Additionally, monthly information will be shared with HCBS providers, Medicaid Managed Care Plans (MMCPs), and Lead Health Homes (HHs) to foster communication and collaboration to build capacity and assist children/youth who are on waitlist obtain services.

- HCBS providers have been willing to build capacity but needed more information regarding the gap, e.g., services, counties, and potential referral volume.
- Lead HHs will be able to identify the number of members awaiting service connectivity and be able to assist HHCMs to connect children/youth to other services as needed, and work with the Department to identify gaps in HCBS.
- Medicaid Managed Care Plans (MMCP) will have a clear list of members on a waitlist by provider, service, and county to work with the Department to build network adequacy and assist HHCMs to link members to other services as necessary.
  - MMCP’s need to identify whom within the MMCP will receive the information.

The Children Services Capacity Tracker will assist in monitoring HCBS capacity and gaps in services according to waitlisted information. The reporting of capacity is a requirement for HCBS providers and will assist NYS DOH with monitoring and oversight to build capacity to ensure service availability for enrolled HCBS members and to assist with required data collection for federal reporting.
This new system will also enable providers to run their own reports and track information regarding children/youth being served and on a waitlist. Additionally, it will allow providers to know if they have the same child/youth waiting for services to assist with collaboration and communicating with the Health Home care manager.

2 Responsibilities and Reporting Requirement
HCBS Providers will be required to submit a capacity survey and their waitlist information through the Children’s Services Capacity Tracker at minimum every three (3) weeks on Friday by 11:59pm. Each reporting period the provider will submit three different informational components within the two areas of the Children’s Services Capacity Tracker.

In the **Capacity Survey**, providers will:
- Indicate the total number of children being served by service type
- Determine if the provider has availability to serve additional members by service and county, by checking the county or counties box

In the second component, the **Children’s Services Waitlist**, providers will:
- Submit waitlist information per each individual member information by service and by county.

HCBS providers should develop and maintain internal processes for capacity reporting and waitlist maintenance. This Capacity Tracker can replace existing service/waitlist spreadsheet and other processes of providers, as this system has reports for the provider to assist with managing waitlist information.

**NOTE:** CFTS Services are also available to document capacity and waitlist information. Currently, CFTSS providers are not required to complete a capacity survey or enter the Children’s Services Capacity Tracker. However, HCBS providers who are also designed for CFTSS can manage their CFTSS waitlist in the Capacity Tracker.

2.1 Designated Providers to Report
At this time, only designated HCBS and CFTSS providers will have access to the Children’s Services Capacity Tracker. When a provider enters the system, the services and counties they are designated to serve will be available, as this information is obtained through the State Partner Designation Team and polices.

https://search.health.ny.gov/search?q=designation+policy&btnG=Search&site=doh_collection&client=default_frontend&proxystylesheet=default_frontend&output=xml_no_dtd

Providers will not need to enter designation information regarding the services or counties they serve. If a provider does not see a service or county they believe they are designated to serve, the provider should reach out via email **BH.Transition@health.ny.gov** or **OMH-Childrens-Designation@omh.ny.gov** immediately for assistance.
2.2 Children Receiving Services
The Children’s Services Capacity Tracker will request the number of children/youths receiving services by service type from the provider within the Service Survey. This is a total number of children/youths being served by designated service and will need to be updated at a minimum every three (3) weeks on Friday by 11:59 pm. This will assist the State in identifying the number of children/youths being served and for which services. As capacity is built by service, this will assist in determining the impact of capacity building.

2.3 Capacity Availability
After the provider has identified the number of children/youths being served on the Service Survey, the provider will then identify availability for each designated service the provider provides and in which county(ies). This is a simple check mark process to identify the counties and services that have availability, a count/number is not requested. This information should be reported at a minimum every three (3) weeks on Friday by 11:59 pm.

This information will be transmitted to the public facing Map - Children and Family Treatment and Support Services/Home and Community Based Services (ny.gov) to assist providers, care managers, managed care plans, and families to identify services within their county that have availability. This will assist the State in reviewing service capacity of providers compared to service gaps and waitlist numbers, thereby helping care managers and other stakeholder working with children/youth/families to connect them with needed services.

2.4 Waitlist
The providers will report the children/youth who are actively on a waitlist with the provider. The provider’s waitlist should be monitored and updated on a regular basis. The provider will be asked to report each child/youth on their waitlist for each individual service. The waitlist information is identified by child’s/youth’s CIN number, which must be provided by the provider. The waitlist is the only area currently in the Capacity Tracker that has specific protected health information (PHI).

The provider will also have to identify the reason for each child/youth being waitlisted per service, and the date that the child/youth was referred for service and placed on the waitlist. The Capacity Tracker will then calculate the number of days each child/youth has been waiting by service. While managing the waitlist, the provider will update the waitlist to indicate if a child/youth is removed from the waitlist and the reason. Providers are encouraged to utilize the Children’s Services Capacity Tracker to manage their waitlist on a regular basis; the provider does not have to wait until the next required report submission to update information.

Since PHI is utilized for the waitlist information, the Capacity Tracker will be able to link children/youth who are on more than one provider’s waitlist. Therefore, providers will be able to see if a child/youth on their waitlist is on another provider’s waitlist and for what service and county. Additionally, each provider will be able to see the reason the child/youth is on the waitlist. This enhanced visibility will aid in collaboration between providers and the member’s care managers in an effort to obtain services for the child/youth.
When a provider removes a child/youth from their waitlist, who is also on another provider’s waitlist, the other provider will be notified that the child/youth was removed and the reason for the removal. This will assist with accurate waitlist accounting and collaboration. When a provider is notified that the child/youth was removed, the provider should not automatically remove the child/youth from their waitlist or make any determination about service need without communicating with the child’s/youth’s care manager.

**NOTE:** Providers which share a waitlisted child would only have visibility of the child if both providers waitlisted the child/youth for the same service. Only those providers will receive an alert notification informing the child has been removed from the waitlist for specified removal reasons. For the list of reasons please refer to Appendix B.

Collaboration among the Health Homes and C-YES, providers, and Medicaid Managed Care Plans should occur whenever possible.

### 3 Who should use the Children’s Services Capacity Tracker

#### 3.1 Children’s Services Providers

At this time, HCBS providers are required to enter information in the Children’s Services Capacity Tracker. The information should be reported at a minimum **every three (3) weeks on Friday by 11:59pm**. Providers will receive an alert as a reminder (3 days prior to due date) when the 3-week report is needed. The Capacity Tracker will allow providers to run reports and download information. It is the responsibility of the providers to ensure that Service Survey and Waitlist are submitted on time as outlined and have internal processes in place for the Children’s Services Capacity Tracker system.

**NOTE:** CFTS Services are also available to document capacity and waitlist information. Currently, CFTSS providers are not required to complete a capacity survey or enter the Children’s Services Capacity Tracker. However, HCBS providers who are also designed for CFTSS can manage their CFTSS waitlist in the Capacity Tracker.

The Department will extract reports of the Children Services Capacity Tracker to monitor compliance and to assist with identifying areas to build capacity, as well as ensuring that lead Health Homes and MMCPs have information monthly regarding their waitlisted members. Providers will determine who will enter capacity and waitlist data in the Children’s Services Capacity Tracker located in IRAMS. HCBS providers must have documented policy to ensure complete and timely submissions of reporting.

The Children’s Services Capacity Tracker is housed within the Incident Reporting and Management System (IRAMS). Providers who have access to IRAMS will be able to access and submit Service Survey and Waitlist information. Each provider should identify 2-3 users who will have access to the Children’s Services Capacity Tracker, similar to the guidelines for IRAMS access. Larger agencies may identify additional users, but not all staff need access. The identified users will enter Children’s Services Capacity Tracker reporting on behalf of their agency and, therefore, should have the appropriate authority and knowledge. Providers can
allow additional staff to access the system and can also designate separate staff to manage IRAMS and the Children’s Services Capacity Tracker.

Providers who do not have access, should contact the Department BH.Transition@health.ny.gov for assistance as quickly as possible as the Capacity Tracker and Incident Reporting within IRAMS are mandated for HCBS providers as part of the provider designation reporting requirements to the Centers for Medicare and Medicaid Services (CMS).

**NOTE:** There is not a “read only” user role within the Children’s Services Capacity Tracker. Providers should ensure that staff overseeing quality assurance or who have oversight responsibility for monitoring submissions, have the “IRAMS Issue Reporter” user role in HCS.

### 4 Accessing the System

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

Each agency/organization’s HCS Coordinator is the person who has the responsibility and authority to request and manage HCS accounts and roles for their agency via the Communications Directory. The HCS Coordinator is by default a user and therefore will have access to the Children’s Service Capacity Tracker. The HCS Coordinator will assign the IRAMS Issue Reporter user role to the identified users for their agency and assist users in requesting a valid HCS ID registers with their organization if necessary.

#### 4.1 Browser Compatibility

The Children’s Services Capacity Tracker System is compatible with Google Chrome, Microsoft Edge, and Mozilla Firefox. The Children’s Services Capacity Tracker System application is not compatible with Microsoft Internet Explorer.

#### 4.2 Organization Selection

Following the Health Commerce System (HCS) login, the user will select the “Incident Reporting&Mgt (IRAMS)” program within the list of all programs within the HCS by alphabet or in “My Applications” after adding to your listing of programs. Staff will have to specify where the verification code will be sent to access the program.

Upon access to the “Incident Reporting&Mgt (IRAMS)”, staff will see “Organization Select” screen to identify their current organization type if the user has more than one organization type (line of business) with the IRAMS Issue Reporter user role. User roles are determined by HCS and affect which systems are viewable in the application. In addition, specific features are available or hidden in accordance with the organization type; for example, Department of Health will be able to extract reporting for all organizations’ capacity reporting, but providers will only be able to extract a report from their own agency’s reporting.
The user will be presented with three dashboard boxes, IRAMS Issue Queue (for Critical Incident, grievance, and complaint reporting), Children’s Services Survey, and Children’s Services Waitlist for the Children’s Services Capacity Tracker.
Providers who are not required to report critical Incident, grievance, and complaint (IRAMS) such as Children and Family Treatment and Support Services (CFTSS) providers but have access to the Children’s Services Capacity Tracker will be presented with two dashboard boxes; the Children’s Services Survey, and the Children’s Services Waitlist.

5.1 System Navigation
Click the family icon on the left-hand side to view two Children’s Services options: Service Survey or Child Waitlist.
5.2 The Children’s Services Survey

The Children’s Services Survey (Service Survey) must be completed every three (3) weeks on Friday by 11:59pm.

At the top right of the screen there is a reminder of your next submission date.
In the upper right there is a “view survey history” function that will allow you to view previous submissions.

5.3 The Children’s Services Waitlist
The Children’s Services Waitlist (Child Waitlist) must be completed and monitored regularly to reflect additional waitlisted children as well as removed waitlisted children.

5.4 The Children’s Services Waitlist Filter
Click the “Filter” button in the right-hand corner of the screen to apply additional criteria to minimize the search result list, specify a HCBS/CFTSS Agency, HCBS/CFTSS Site, and/or Waitlist Reason.
5.5 Manage a Child’s Waitlist

Click on “Manage a Child’s Waitlist” to add a child/youth to the waitlist.

Click the down arrow to see all the information regarding the child/youth waitlist information, as well as other providers that might have them on a waitlist for the same service.
Click on the “Edit Waitlist” button to view additional detailed information.

5.6 User Info/Preferences and Logout
Click on the User Info icon to display current user information, edit the user’s profile, and sign out of the application.
5.7 Returning to the Home Page
Click the title bar from anywhere in the application to return to the Home Page.

6 Capacity Service Survey Reporting
6.1 The Children’s Service Survey
To report within the Survey, click the family icon on the left-hand side.
Then select the Service Survey.

6.2 Completing Survey
Begin by entering the “Number of Children Served” per service – the number of children/youths receiving each designed service by your agency. All fields marked with "*" are REQUIRED.
NOTE: Services are identified as CFTSS and HCBS that the provider is designated to provide.

If a previous Survey was entered, you will see that information next to “Number of Children Served” box.

Indicate potential availability of services by checking the appropriate counties that have availability that correspond with the Service Type. A total number count is not required.
The save button will not turn purple unless all required fields are completed.

6.3 Children’s Services Capacity Waitlist

Manage a Child’s Waitlist

To begin, click on Manage a Child’s Waitlist and then enter the Client Identification Number (CIN) number of the child you will add to the waitlist.

The search will display the child’s name and date of birth (DOB).
**If you enter in a wrong Client Identification Number (CIN), a message in red will appear showing “CIN not found”**.

**Note**: New CINS are added regularly to the system; all CINS for children/youth should be available and recognized by the system.

6.4 Adding Child to Waitlist

For providers,

a. Click the check box next to the Service Type to identify the Service(s) the child/youth is waiting for. (Blue Arrow)

b. Select the Referral Date. (Orange Arrow)

c. Select the Waitlist Reason from the dropdown list. (Black Arrow)

The Health Home, Care Management Agency, and Managed Care Plan will auto populate based upon information on the member’s file.
6.5 Removing Child from Waitlist
Click on the icon of a person on the far right of the child information.

Once you have clicked the icon a message will appear confirming removal of the child from all waitlists.

6.6 Removing/Adding Services
Click on the remove icon the far-right side of the child’s record or the manage child services icon.

You will find a check box on the left side of each service.

To remove a service, click on the check box and the box will turn white. You will be required to choose a removal reason before you are able to successfully remove the child from the waitlist.

Click the save button at the bottom of the page.
To add a service, click on the check box and the box will turn purple with a check mark. Click the save button at the bottom of the page.

If all services are removed for child on the waitlist, this REMOVES the child from the waitlist.

**NOTE:** If more than one agency has the same child on their waitlist, they will have the option to filter to view the other agency the child is waitlisted on or to view their own agency only.

### 6.7 Provider Availability Status

This feature offers providers the opportunity to see potential availability for services for a child on their waitlist and the *potential* provider available. This is demonstrated by a green dot of a potential available provider and the red dot no *potential* availability.
Note: This functionality also creates the opportunity for providers to recognize any potential errors in their survey reporting. An agency who has a child on their waitlist, and the same agency is identified as having potential availability for the same service, should prompt the agency to check their survey report.

6.8 Available Provider Contact Information

Clicking the expand icon next to the number of potential providers, will show you the contact information of those potentially available providers.

This feature provides contact information of providers who have potential availability for the service of the child on the waitlist. The contact information will include the agency and the point of contact for that agency. This is to assist the provider to discuss with the Health Home/C-YES care manager that there might be a provider available for the child waiting services.

Providers can reach out to each other to verify availability but cannot transfers members from one
provider to another. The Health Home/C-YES care manager is the only one that can refer the member to another provider after discussing with the member/family.

<table>
<thead>
<tr>
<th>Agency</th>
<th>Contact</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>AspenHope NY, Inc.</td>
<td>Faunn Conkin</td>
<td>(607) 664-7927</td>
</tr>
<tr>
<td>Wayne County Action Program, Inc.</td>
<td>Emmalea Burnell</td>
<td>(315) 333-6125 x3301</td>
</tr>
</tbody>
</table>

Note: If the agency contact information is incorrect, it can be updated by emailing OMH-Childrens-Designation@omh.ny.gov

Reminder: Referrals for HCBS must be completed by the HH/C-YES care managers

6.9 Waitlist Metrics

In order to see your agencies waitlist metrics by county, service, and by county/service, navigate back to the left-hand side menu and select Waitlist Metrics.

By clicking here, you will see your agency’s unique waitlist metrics. You can toggle between seeing the waitlist by county, service, and county/service by clicking the options at the top. This will automatically be populated with the information you input into your waitlist.
7 Submitting Reports

7.1 Capacity Reporting

Review the information entered to confirm its accuracy before clicking the save button. Once an entry is made, you will be unable to edit. You will have to create a new entry.

You will find in the upper right corner of the screen your next submission due date.

You will find in the upper right corner of the screen a link to view your previous survey history.
7.2 Waitlist Reporting
Review the information entered to confirm its accuracy before clicking the “Save” button. If you have made an error, you will be able to edit by clicking on “Manage a Child’s Waitlist” and correcting the error. You will need to click the save button to save all edits.

8 Alerts/Notifications

8.1 Children’s Waitlist
Notifications via email will be sent out to inform agencies when a child has been removed from a waitlist.

8.2 Children’s Waitlist Alert
A child will have a red triangle icon alongside the service/name to notify the agency has removed the service or child from their waitlist for a specific reason.

Note: Only providers who share the same child/youth on a waitlist will receive an alert notification informing them that the child/youth has been removed from the waitlist.

8.3 Service Survey
Reminder notifications via email will be sent out approximately three days before a survey report with the intent for agency to report in a timely manner.

8.4 Opt-Out of Alerts/Notifications
Agencies will have the option of opting out of receiving reminder email notifications for surveys as well as alerts for the waitlist.
9 Reporting

9.1 Exporting a Report to Excel
Providers will have the option to export a excel version of their waitlist for record keeping, managing, and monitoring.
## Appendix

### Appendix A: Reason for Waitlist and Definitions

<table>
<thead>
<tr>
<th>Waitlist Reason</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gender specific staff requested</td>
<td>The member/family asked for a provider of a specific sex</td>
</tr>
<tr>
<td>Group service not available</td>
<td>The provide who provide group services is not available to provide services</td>
</tr>
<tr>
<td>Insufficient expertise (MF, DD, SED, SUD)</td>
<td>The available staff in not equipped to provide services for specific populations</td>
</tr>
<tr>
<td>Insufficient staff for service</td>
<td>There is not enough staff to provide services to the number of enrolled children receiving services.</td>
</tr>
<tr>
<td>No staff with require language</td>
<td>The staff member does not have the able to speak/communicate with the child/youth due to language barrier</td>
</tr>
<tr>
<td>Scheduling Conflict</td>
<td>The member/family has requested a day and/or time which does not align with the provider’s available schedule</td>
</tr>
<tr>
<td>Service is pending review</td>
<td>The request for services provided is under review so no services will be delivered at this time.</td>
</tr>
<tr>
<td>Staff not available for location</td>
<td>The site of available services is not easily travelable to the member and family.</td>
</tr>
</tbody>
</table>
### Appendix B: Reason for Removal from the Waitlist and Definitions

<table>
<thead>
<tr>
<th>Removal Reason</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aged out of Waiver*</td>
<td>The child/youth has reached the age of 21 years</td>
</tr>
<tr>
<td>Child was Hospitalized/Institutionized</td>
<td>The child/youth has been admitted to a hospital or institution for 90 days or longer and will not need services at this time.</td>
</tr>
<tr>
<td>Disenrolled from Waiver*</td>
<td>The child/youth is no longer desire or need to be enrolled in waiver services.</td>
</tr>
<tr>
<td>Enrolled in Service*</td>
<td>The child/youth is currently receiving the service</td>
</tr>
<tr>
<td>Family Cancelled Request*</td>
<td>The child/youth does not want the service or want to be on a waitlist for the services</td>
</tr>
<tr>
<td>Family Requested Alternate Service*</td>
<td>The child/youth is now requesting a different service then previously referred</td>
</tr>
<tr>
<td>Moved out of Service Area</td>
<td>The child/youth no longer resides in the county for which the provider is designated</td>
</tr>
<tr>
<td>Moved out of State*</td>
<td>The child/youth is no longer a New York State resident.</td>
</tr>
<tr>
<td>Unable to Contact Family</td>
<td>The provider is unable to contact the family to schedule requested service and the care manager agrees with removal from the waitlist</td>
</tr>
</tbody>
</table>

**Note:** The reasons with a red asteroid (*) next to it will result in an alert of notification for agencies who share a child waitlisted for the same services.
Appendix C: 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 that this is NOT a helpline, this is a technical support service.

How to Create HCS Account


First create a HCS account (if applicable), after account is created, you will have to reach out to your agency HCS coordinator. The HCS Coordinator will assign you the role of IRAMS Issue Reporter role.

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

How to Access IRAMS

You can access IRAMS with this link: https://increp.health.ny.gov/
Appendix D: Resources

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

- OMH Designation Mailbox
  OMH-Childrens-Designation@omh.ny.gov