

Uniform Assessment System for New York



UAS-NY Organization Implementation Guide for the Community Assessment and Pediatric Assessments

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**Department
of Health**

**Medicaid
Redesign Team**

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INTRODUCTION TO THE UAS-NY

The UAS-NY is a secure, web-based software application housed in the New York State (NYS) Department of Health's (DOH) Health Commerce System (HCS). The UAS-NY contains electronic adult and pediatric assessment and screening instruments for individuals being served in a number of New York State programs under the oversight of various NYS Agencies including: the Department of Health, the Office for People With Developmental Disabilities, the Office for the Aging, the Office of Mental Health, the Office of Alcoholism and Substance Abuse Services and the Office of Children and Family Services.

The UAS-NY currently contains four assessment instruments and one screening instrument:

- | | | | |
|--------------------------|----------------------|---|--------------------------------------|
| <input type="checkbox"/> | CANS-NY 0-5 | — | children ages birth-5 |
| <input type="checkbox"/> | CANS-NY 6-21 | — | children/youth ages 6-21 |
| <input type="checkbox"/> | Community Assessment | — | adults over the age of 18 |
| <input type="checkbox"/> | Pediatric 0-3 | — | children ages birth-3 |
| <input type="checkbox"/> | Pediatric 4-17 | — | children ages 4-17 |
| <input type="checkbox"/> | No Wrong Door Screen | — | one instrument across all age groups |
| <input type="checkbox"/> | CAS OPWDD | — | one instrument across all age groups |

The UAS-NY also includes a seamlessly integrated online, self-paced Training Environment, which includes training on conducting the assessments and screen, as well as using the UAS-NY application.

The Purpose of this Guide

This guide provides you and your organization with the information necessary to successfully implement the UAS-NY. 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 assessment instruments (starting on page [3](#)).
- Information about the UAS-NY software application and Training Environment (starting on page [5](#)).
- Information to assist you with transitioning your organization to using the UAS-NY (starting on page [12](#)).
- A check-list of initial start-up activities for your organization once you have access to the UAS-NY (starting on page [25](#)).

- Procedural and reference materials you will need during your transition (starting on page 26).

UAS-NY Support Desk

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

- **Implementation Support**
Available for your organization's Single Point of Contact should they have questions about or need information relevant to your organization's implementation of the UAS-NY.
- **User Support**
Available to users should they have questions about the UAS-NY software application or UAS-NY Training Environment.

You may reach the UAS-NY Support Desk by either email or phone:

via email: uasny@health.ny.gov

telephone: 518-408-1021 (option 1) during regular business hours

ASSESSMENT INSTRUMENTS AND IMPLEMENTATION

This section of the guide presents information related to the programs and plans that are using the UAS-NY and the assessment instruments that were replaced.

UAS-NY Long-Term Care Assessment Instruments

The long-term care assessment instruments are 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 for persons who are elderly, frail, or disabled (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 **UAS-NY Community Assessment** instrument enables an assessor to review multiple domains of function, health, social support, and service use. The Community Assessment includes two supplements: the Functional Supplement and the Mental Health Supplement. The Functional Supplement captures additional information related to health, function, and support. The Mental Health Supplement captures additional information related to mental health service history, mental state, and social relations.

The **UAS-NY Pediatric Assessment** instruments also review multiple domains of function, health, social support, and service use *within an age appropriate context*. The pediatric assessments do not include supplements.

New York State Medicaid Programs and Plans Affected

The UAS-NY and its related assessment instruments are used in the following New York State home and community-based long term care Medicaid programs.

- Adult Day Health Care (ADHC)
- Assisted Living Program (ALP)
- Managed Long-Term Care (MLTC)
- Managed Care Organizations (MCO)
- Personal Care Services (PCS), Consumer Directed Personal Assistance Program (CDPAP)
- Nursing Home Transition and Diversion Waiver (NHTD)
- Traumatic Brain Injury Waiver (TBI)

Assessment Instruments Replaced

The UAS-NY and its related assessment instruments replaced the following instruments and forms.

Program	Instruments/Forms Used
Adult Day Health Care	Registrant Assessment Instrument (RAI)
Assisted Living Program (ALP)	Hospital/Community Patient Review Instrument (PRI) Screen DSS- 4449B Identifying Information DSS- 4449D Nursing/Functional/Social Assessment DSS- 4449C Medical Evaluation and Physician Orders (This form was updated to align with the UAS-NY.)
Managed Long Term Care	Semi-Annual Assessment of Members (SAAM)
Personal Care Services/ Consumer Directed Personal Assistance Program (CDPAP)	DSS-3139 (Home Assessment Abstract) DMS-1 (Long Term Care Placement Form)
Personal Care Services – NYC	M27-R (RN Assessment Task Based Assessment) M11-S (Social Assessment)
NHTD/TBI Waivers	Hospital/ Community Patient Review Instrument (PRI) Screen

Laws, Regulations, Policy, and Guidance

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

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

It is important to note that the UAS-NY is not a nursing home admission tool. Nursing home admissions still require a PRI, and staff conducting the PRI must be certified to use that instrument.

In addition, federally required assessments, such as the Minimum Data Set (MDS) and Outcome and Assessment Information Set (OASIS), have *not* been replaced by the UAS-NY.

UAS-NY APPLICATION AND TRAINING ENVIRONMENT

In order to make decisions about your organization's implementation of the UAS-NY, it is important to have a fundamental understanding of the UAS-NY application. Some key concepts are presented in the following sections. Please note that detailed information about the UAS-NY is also available in the UAS-NY Training Environment.

The UAS-NY is a web-based application that enables users to enter and maintain information about an individual and to conduct a home and community-based long-term care assessment using one of the assessment instruments. Built into the assessment instruments are a series of research-based algorithms and formulas that are used to generate assessment outcomes and reports that support and guide care planning.

The UAS-NY contains almost 400,000 unique records (or case files) for each individual enrolled in one of New York State's home and community-based long-term care Medicaid programs/plans. Each individual's record contains personal identifying information (PII) and protected health information (PHI); this includes demographic data, assessment data, assessment outcomes data, program/plan enrollment data, and information that can be used in care planning.

All of this information is maintained in the UAS-NY database, which is owned and operated by the New York State Department of Health. Data is accessible to all local social service district and health provider organizations in New York State who require access to it, thereby making the sharing of this information among these organizations unprecedented.

The information you enter into the UAS-NY will be immediately available to other organizations who also have a business need to access it. The intent of sharing information at this level is to facilitate communication among organizations and ensure quality of care for the individual.

HCS and UAS-NY 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 law, the UAS-NY application is designed with certain security features.

- ❑ The UAS-NY is 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 UAS-NY project team and appropriate DOH program offices have identified the HCS organization types that require access to the UAS-NY 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.
- ❑ 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 must have at least one HCS Coordinator; we highly recommend a minimum of two.

- ❑ Each person in your organization who will access the UAS-NY must have their own HCS user account, and that account must be correctly associated with your organization. HCS user accounts *cannot* be shared.
- ❑ Pursuant to New York State laws governing PII and PHI, the identity of each user accessing the UAS-NY must be verified and validated to Trust Level 3 assurance. The HCS includes an easy-to-use mechanism to establish this trust level for your organization's users and their HCS accounts. Your HCS Coordinator will perform this activity for each of your organization's HCS users.
- ❑ The UAS-NY is a role-based system. The UAS-NY project team has created UAS specific roles in the HCS. The UAS-NY application uses these roles to govern what information may be read or edited, and what functions may be performed. Each person in your organization who will access the UAS-NY must be assigned a UAS role in the HCS. You will work with your HCS Coordinator, and possibly others in your organization, to review the capabilities of each UAS role and determine the appropriate role to be assigned to each of your organization's staff members. Your HCS Coordinator will perform the task of assigning the roles in the HCS to your staff's HCS accounts.
- ❑ Each person in your organization that has an HCS user account for the purpose of accessing the UAS-NY will be required to enroll in the Multi-factor Authentication (MFA) via the HCS.
- ❑ MFA requires a user to provide two pieces of information to access the UAS-NY each time the user logs in: one piece is a password and the second piece is an authentication code.
- ❑ The UAS-NY includes extensive audit logging capabilities. All access to and actions performed within the UAS-NY are captured to support investigation of potential security lapses or breaches.

More detailed information for HCS Coordinators, as well as information about the UAS roles, is included in the Reference and Procedural Materials section of this document.

Access to Client Data

Each client's record in the UAS-NY, including all related assessment data, serves as a shared case file for everyone involved in the client's case; other organizations and users will have access to the same case file information you do.

The set of case files that your organization needs to access is called your organization's case list. It's important to remember that some of the case files in your organization's case list may also be included in other organization's case lists.

As part of your organization's start up activities, you will need to populate your organization's case list. You will need to search for your clients in the UAS-NY statewide database and attest to a business need to access their case files. This attestation will place the client's case file record in your organization's case list. Once you perform this attestation

process and the client's case file is in your organization's case list, it will be available to everyone in your organization who has access to the UAS-NY.

For reasons of security, when you start the UAS-NY application and are presented with your organization's case list, no records are displayed. Your staff will be required to provide basic search information about an individual before gaining access to that individual's case file. This protects client data from being inadvertently displayed to unauthorized persons, and inhibits unnecessary access to client data in your organization's case list.

Conducting Assessments

The UAS-NY is designed to provide users with a degree of flexibility when conducting assessments. Depending on the program/plan your organization is operating, an assessment may be conducted in a variety of ways:

- ❑ One Registered Nurse (RN) assessor employed by one organization. The assessor is able to initiate, conduct, and sign an assessment in its entirety.
- ❑ A social assessor and a RN assessor employed by one (*the same*) organization. In this case, each assessor will be able to make their respective contributions during the course of the assessment.
- ❑ A social assessor from one organization and a RN assessor from another (*different*) organization. In this case, one of the assessors will initiate the assessment and then share editing rights with the other assessor's organization. Each assessor will then be able to make their respective contributions during the course of the assessment.

Because the UAS-NY is a web-based application, users have the flexibility to access a client's case file and assessments from any location with internet access. Users have the flexibility to work on assessments from different locations, as well as at the same or at different times.

Signatures and Assessments

There are three types of signatures associated with assessments conducted using the UAS-NY. Signing assessments in the UAS-NY consists of an electronic signature (or e-signature) process; no paper is involved or required. The act of signing an assessment is straightforward and easy to perform.

- ❑ **Social Assessor:** For programs that require a social worker conduct part of the assessment, the social assessor's signature is required to be provided first (before the RN's signature). Only one social assessor signature is permitted. If a social assessor was not involved in the assessment, then this signature is not required.
- ❑ **RN Nurse Assessor:** For programs that require both a social assessor and a RN assessor conduct the assessment collaboratively, the RN assessor's signature is required to be provided second. If a social assessor was not involved in conducting the assessment, the RN assessor indicates they are the only contributor to the assessment and signs and finalizes the assessment. Only one RN assessor signature is permitted. Once the RN assessor signs and finalizes the assessment, it is locked from

further editing. Only a RN assessor supervisor (UAS-45) can unlock an assessment once it has been signed by a RN assessor.

- ❑ **Review/Consult:** Individuals who were consulted for the assessment, or who otherwise were involved in a review and/or approval process, may sign last. There can be as many Review/Consult signatures as required by your business process. The Review/Consult signature capability has been designed to accommodate local processes for review, approval, or other auxiliary participation. It's important to understand that the Review/Consult signature does not inhibit or enforce any business rules within the UAS-NY, and is merely available as a mechanism to accommodate your *local process* of review, approval, or consultation. Review/Consult signatures can only be added to a finalized assessment.

Conducting Assessments Without Internet Access

There will be times when your organization's assessors will not have internet access where an assessment is to be conducted. To accommodate this circumstance, the UAS-NY includes a version of the application that can be installed on a laptop computer and used to conduct assessments without internet access. This application is referred to as the **UAS-NY Offline Application**. Assessments conducted using the UAS-NY Offline Application look and function almost identically to the web-based application. Using the UAS-NY Offline Application to conduct an assessment while not connected to the internet is referred to as **working offline**.

To work offline, the UAS-NY Offline Application must first be installed on the assessor's laptop computer. You should work with your organization's Information Technology (IT) department to prepare your organization's laptop computers for storing health data, and to perform the UAS-NY Offline Application installation. Detailed installation instructions are included with the UAS-NY Offline Application installation program, which can be found in the UAS-NY Training Environment Course 8500 Online and Offline Application.

Once the UAS-NY Offline Application is installed on the laptop computer, and **prior** to going to the client's residence, the assessor must perform a few steps while connected to the internet. The assessor must start the UAS-NY Offline Application and supply their HCS user ID and password; this will log them into the HCS, connect them to the UAS-NY web-based application, and provide them with access to their organization's case list, just like when they are online. The assessor will then select the individuals they will be assessing, and synchronize the data; this will place copies of those individuals' case files on the assessor's laptop. The assessor will then be able to fully conduct an assessment for those individuals without having access to the internet. *Assessors cannot sign an assessment while working offline.*

When the assessor has completed the assessment(s) and again has internet access (such as back at the office), they must start the UAS-NY Offline Application again, and perform a synchronization, which will update the web-based application with any data that was created or changed while working offline.

While there are benefits to being able to work offline, there are also drawbacks and risks. Most notably, any data synchronized to your organization's laptop computers when working offline is your organization's responsibility. Inadequately protected data that is lost or stolen

while in your organization's charge could result in a costly penalty. Conversely, while conducting assessments using the web-based application, no data is present on your computer's hard drive, and therefore technically not in your possession. Your organization's liability for loss or theft of data is minimized.

The UAS-NY Project Team recommends using the web-based application when possible. For times when it is necessary to use the UAS-NY Offline Application, be sure your organization has taken appropriate steps to adequately protect the data that will be stored on your laptops.

Under *extenuating circumstances*, assessors may use a paper version of the assessment instruments; in this situation, both supplements must also be completed. The information from the assessment must be entered into the UAS-NY in a timely manner so that the assessment may be signed and finalized.

Assessment Outcomes and Program Enrollment Information

Upon completion of an assessment, the UAS-NY summarizes assessment, program and service information in an Assessment Outcomes display. The nurse assessor will use the Assessment Outcomes information to indicate the person's interest in a possible program, to indicate a referral recommendation to a community and/or a home setting, and to indicate a program/plan recommendation.

When all of the information for the Assessment Outcomes has been completed, the assessor must sign the Assessment Outcomes using a similar procedure for signing an assessment. Assessment Outcomes may be signed and finalized only after the assessment is signed and finalized. Once signed, the Assessment Outcomes will be locked from further editing.

After Assessment Outcomes have been completed and a program/plan enrollment has been confirmed, organizations that are responsible for enrolling the individual in their program/plan will create an entry in the Enrollment node. If the individual is enrolled in more than one program, each enrolling organization will create an entry. The enrollment entry supports reporting capabilities for enrolling organizations within the UAS-NY. It is the responsibility of the enrolling organization to maintain and manage enrollments, which includes disenrolling individuals when they leave your program or plan and removing their record from your organization's case list. (There are courses in the UAS-NY Training Environment that provide instruction on this functionality.) Failing to appropriately maintain enrollments is a security violation of your organization's HCS use agreement that may result in a sanction imposed against your program or plan.

UAS-NY Reporting

The UAS-NY includes robust reporting capabilities, which provide you and your organization with immediate access to data. Access to reports is based on roles; some roles may not have access to some reports.

- ❑ **Individual Reports:** Individual reports present information on the specific individual being assessed. These reports include assessment summaries, history, medications, and assessment outcomes for an individual, and are accessed from within an individual's case file.

- ❑ **Aggregate Reports:** Aggregate reports present information in summary across your organization. Aggregate reports collect and summarize data based on case files present in your organization’s case list, and in some cases further restricts the data based on your organization’s enrollment entries.
- ❑ **Ad Hoc Reporting:** Ad hoc reporting provides you with the ability to create custom queries over case files in your organization’s case list. This capability will enable you to select and export data from the UAS-NY for use in your local case management or quality systems. A data dictionary of all fields included in the UAS-NY is available in the training environment (Course 8200 UAS-NY Reports).

The UAS-NY Training Environment

The UAS-NY web-based application directly interacts with the UAS-NY Training Environment. This interaction dramatically simplifies the process of educating your organization’s staff on the assessment instruments and the use of the software application.

NOTE: Accessing the UAS-NY Training Environment **via a VPN connection is not supported.** Use of a VPN connection prevents the UAS-NY Training Environment from properly tracking a user’s training course completion and can prevent users from satisfying their training requirements.

The following are some of the key features of the UAS-NY Training Environment.

- ❑ All of the training is web-based and self-paced. Your staff can access the Training Environment from any computer that has internet access. The Training Environment automatically tracks each student’s progress through each course, which enables them to leave a session, return at a later time, and resume from where they left off; this means your staff will be able to proceed through each course at a pace that is appropriate for them.
- ❑ The UAS-NY Training Environment includes training courses on the assessment instruments *and* the software application. Most of the courses have been designed as short modules focused on teaching specific topics or tasks. Your staff will learn manageable chunks of information incrementally and not become overwhelmed. Most of the courses can be completed in 30-60 minutes. Some courses, however, such as learning the new assessment instruments, are, appropriately, much longer.
- ❑ The UAS-NY course catalog consists of fundamental courses, intermediate courses, and advanced courses. After gaining some experience with the UAS-NY, staff should proceed to the intermediate and then the advanced courses. Both present more complex tasks and concepts and are best taken in the context of existing knowledge and some level of direct experience using the application and instruments.
- ❑ Like the UAS-NY application, the training that is required for a given user is based on their assigned UAS role. The UAS-NY application knows, based on the user’s role, what courses the user must take and provides them with easy access into those courses. The UAS-NY will automatically enroll them in the courses, track their progress through the courses, and register their completion.
- ❑ Each course is classified as being either required or recommended. “Required” means the user must complete the course in order to access the UAS-NY application. Your

staff will not be allowed access to the UAS-NY before completing all required courses. “Recommended” means the user may access the UAS-NY application without having completed the course; the material presented in the course is recommended, *but important*. Your staff *will* be allowed to access the UAS-NY before completing recommended courses.

- ❑ The UAS-NY Training Environment also includes a “References and Resources” section. This section contains reference manuals for the assessment instruments, user guides that provide step-by-step instructions for using the UAS-NY software application, and a Frequently Asked Questions (FAQ) area that provides responses to questions raised by UAS-NY users across the State.

The UAS-NY Training Environment is an ongoing resource, and the materials in the training environment will be periodically updated. You should encourage your staff to routinely check the Training Environment for new or updated information.

YOUR ORGANIZATION'S IMPLEMENTATION OF THE UAS-NY

To directly assist all organizations in the implementation of the UAS-NY, the UAS-NY 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 UAS-NY and an effective integration of the UAS-NY into your business processes.

In general, your organization will:

- learn about the UAS-NY,
- identify and modify organizational processes that are affected by the use of the UAS-NY,
- assess and address the information technology implications of using the UAS-NY, and
- perform important initial UAS-NY start-up activities.

Once implemented, your assessors will use the UAS-NY to conduct assessments; your care planners will be able to use the assessment data, assessment outcomes, and other reporting capabilities to guide care planning; your management team will be able to use the UAS-NY for a variety of organizational and program management functions.

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 UAS-NY.
- Appoint a UAS-NY Coordinator to serve as the project manager for your organization's UAS-NY implementation.
- Create an internal and external communication plan to share information about your organization's implementation of the UAS-NY.
- Identify and confirm your organization's HCS Coordinator(s), or take steps necessary to establish one.
- Establish HCS user accounts with Trust Level 3 assurance for all staff who will be required to use the UAS-NY.
- Assess staff computer literacy and provide training as needed.
- Make available to all of your organization's UAS-NY users, the document titled "UAS-NY Support for Users." This document provides step-by-step information to help staff access the UAS-NY. This guide is available in the References and Resources of the UAS-NY Training Environment, Course 8050, Section 3 UAS-NY User Support Guide.

- ❑ Review your organization's process for conducting assessments and 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, 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 staff's use of the UAS-NY; prepare to implement those changes and provide training to staff.
- ❑ Determine for each staff member the UAS role that is appropriate for them, and assign them their role in the HCS.
- ❑ Promote and support staff completion of the required and recommended training available in the UAS-NY Training Environment.
- ❑ Complete the UAS-NY start-up activities.

Leadership and Communication

Two fundamental concepts that your organization should address that will play a key role in the successful integration of UAS-NY 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 UAS-NY.

UAS-NY Implementation Leadership Team

One of the first steps your organization should take to implement the UAS-NY 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.
- ❑ **UAS-Coordinator or 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 UAS Coordinator/SPOC will:
 - serve as the project manager for your organization's implementation of UAS-NY;
 - be the single point of communication with UAS-NY project team;
 - provide periodic updates to internal and external stakeholders on the organization's vision for, and benefits of, using the UAS-NY;

- work collaboratively with your organization’s HCS Coordinator to assure appropriate UAS role assignments in the HCS for all staff who will use the UAS-NY;
 - 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;
 - within your organization, build a culture of teamwork into all aspects of the transition;
 - monitor and support staffs timely completion of UAS-NY required and recommended 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 UAS-NY.
- 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 UAS 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 UAS-NY. It will be important for you to identify and engage these 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 UAS-NY. 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 UAS-NY 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 UAS-NY?
- What are the roles and responsibilities of your UAS-NY implementation leadership team in communicating to your organization’s staff?
- What does your organization currently know about the UAS-NY? 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 UAS-NY and your implementation plan?
- What do staff need to think, feel and do in order to embrace and successfully adopt the UAS-NY?
- 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

Some assessments require coordination with other organizations. With the implementation of the UAS-NY, many aspects of this coordination will be easier—albeit different—than you have previously experienced.

As part of your implementation of the UAS-NY, you will need to identify the organizations with whom you coordinate when conducting assessments and contact them to convey some details of your local implementation plan. This will include organizations with whom you contract or subcontract for assessment activities; they, too, will be required to go through this transition to the UAS-NY. It will be critical for you and the organizations with whom you coordinate on assessments to have reasonably synchronized implementation plans.

Creating an external communication plan will facilitate this synchronization and ease your transition. Communicate with your partners, subcontractors, and specialists to convey the date you will be ready to conduct assessments using the UAS-NY.

It may also be useful to convey who in your office will be trained, what training they will complete, when they will complete the training, when they will have computers available to use for assessments, and when you as an organization will begin using the UAS-NY for assessments.

Day-to-day operational communication will continue, but will need to be augmented to adjust for coordinated assessments. There is specific training available for coordinated assessments (Course 2310 Coordinating an Assessment). You should plan to establish an open dialogue with your partners in order to establish a common understanding of the roles and responsibilities for completing assessments using the UAS-NY, and to determine and implement any changes to the assessment process.

Organizational Considerations

To support your organization's implementation of the UAS-NY, you will need to review and prepare to adjust the following:

- your organization's assessment process,
- how social and clinical assessments are coordinated (*if applicable*),
- 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.

Review Your Organization's Assessment Process

As part of the implementation of the UAS-NY, you should review your organization's current assessment process, and identify how it may need to be changed to accommodate implementation of the UAS-NY.

The following questions are intended to stimulate thought and discussion among your implementation leadership team about your organization's current and future assessment process. It is not intended to serve as an exhaustive list of questions.

- For which programs does your organization complete assessments?
- What staff are involved in the assessment process? What role do staff have? Who are the RN assessors? Who are the social assessors?
- Are other organizations involved in the assessment process? What is the role of these organizations and their staff in the assessment process? Who determines which sections of the assessment are completed by which staff? How are discrepancies between assessors resolved?
- Who in your organization will initiate the assessment? How is the assessment information received from the physician or the referring entity?
- Will the assessors have access to the internet when in the field? Will assessors use the UAS-NY Offline Application?
- What mechanisms are in place to review completed assessments? How will managers coordinate the timely completion of assessments?
- Once the assessment is signed by the RN assessor, are additional signatures or review/approvals required? What is the review process? Is a supervisor signature required?
- What is the process for correcting errors in an assessment that has been signed and locked by a RN assessor?
- What actions are required once the assessment is completed? Who receives the completed assessment? Who receives other data from the assessment?
- How will assessment results be used to develop care planning? Who develops the care or service plan? Will they have or need access to the UAS-NY?

- Once the assessment is complete, what will the process be to communicate a referral to the appropriate service provider(s)? What type of information or report is sent? How are the results transmitted? What is the process for making a referral? What information is transmitted in a referral? Who is responsible for making the referral?

Social Assessments

The assessment instruments included in the UAS-NY do not have explicit delineations of social assessment domains versus clinical assessment domains. As such, if your organization performs assessments that are coordinated between social workers (social assessors) and nurses (RN assessors), you will need to review the assessment instruments and determine which items will constitute the social assessor's responsibility. Once you make this determination, you will have to clearly communicate this understanding to all of the individuals involved in the assessment (i.e. social assessors and RN assessors alike).

It is important to keep in mind, however, that the RN assessor has final authority over the entire assessment. It will be critical, and a matter of professional courtesy, to communicate when disagreements occur.

You may have to define (or reiterate) a protocol to be followed when such disagreements arise, and clearly communicate that protocol to all assessment participants. This will ensure that the best information will be collected for the client, thereby resulting in the best care.

Considering Your Organization's Business Process

As part of your organization's implementation of the UAS-NY, it is important for you to consider how the UAS-NY 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 UAS-NY. It is not intended to serve as an exhaustive list of questions.

- How is individual assessment data currently used by your organization? What type of information is used? What information is available in the UAS-NY to support current data analysis?
- The UAS-NY requires that all staff who access the UAS-NY have a unique HCS account and be assigned a specific role in the UAS-NY. How will changes in staff status be communicated to your organization's HCS Coordinator(s)? Who will determine the appropriate UAS roles? Who will ensure that new staff have appropriate access?
- How will the organization support staff completion of 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 implement the UAS-NY?
- What supports will be put in place to ensure the accuracy and reliability of assessments? What internal supports will be implemented to provide technical support to staff?

- Will data from the UAS-NY 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 UAS-NY to support these business processes?
- Field staff will be using laptop computers to conduct assessments. Are current IT security policies and procedures sufficient? What actions will be taken to monitor access to UAS-NY data? How often and how closely will your organization's administrators review and monitor your staff's UAS-NY activities?
- Who will be responsible for reviewing the quality of UAS-NY data? Who will build institutional knowledge of UAS-NY and to proactively use UAS-NY data to support management and improvement of quality and care?

Information Technology Support

The UAS-NY 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 UAS-NY 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 UAS-NY 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:

- browsers and browser versions supported by the UAS-NY;
- browser settings, extensions, and plug-ins required to support using the UAS-NY application and the UAS-NY Training Environment;
- level of internet access (including bandwidth) required to support using the UAS-NY 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);
- network obstacles which may need to be addressed in order for your UAS-NY users to access the UAS-NY web-based application and use the UAS-NY Offline Application; and
- hardware requirements and configurations necessary to use the UAS-NY Offline Application.

Promoting Staff Computer Proficiency

To conduct assessments using the UAS-NY and to complete the required and recommended UAS-NY training, your staff will need to be proficient and comfortable using computers and

the internet. Ensuring 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/en-us/digitalliteracy/overview.aspx>

UAS Roles

Introduction to UAS Roles

Many roles in the HCS are designed to match functional responsibilities in an organization, often by job title; for example: Medical Director, or Clinical Supervisor. The UAS roles do not function this way. Instead, the UAS roles are designed to enable the UAS-NY application to govern:

- ❑ what **data** can be viewed or edited, and
- ❑ what **functions** may be performed.

In short: *UAS roles authorize access.*

The UAS role assigned to a given user will restrict their functional access in the UAS-NY application. For this reason, the UAS role titles are general, not specific.

However, while the UAS roles are not explicitly intended for a functional job title in your organization, they *have* been designed with certain responsibilities in mind. In this regard, multiple staff in your organization may/will be assigned the same UAS role.

Before assigning UAS roles to your staff, it will be important for you to understand the intended audience of each role, and the variables of what level of access each role authorizes.

When assigning roles to your staff, you should only assign roles that correlate to the level of authority you deem necessary for the staff person to have. Keep in mind the nature of the HIPAA and HITECH protected data for which you are authorizing access.

In the majority of circumstances, you should not assign multiple UAS roles to a given user; that being said, there may be rare times when this is appropriate. In most circumstances, one role per user should be enough for them to perform their responsibilities in the UAS-NY. Refer to the UAS-NY Role Specification Detail pages contained in this guide to determine the UAS role which is most appropriate for each user.

Considerations for UAS Role Assignment

Prior to assigning a UAS role, you should consider the following:

- What are the staff person's general responsibilities related to the assessment process?
- 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 of the assessment? What experience, certification, or background must staff have to perform functions related to the assessment process? Is the UAS 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 UAS-NY, the staff person must carefully select the appropriate role to perform the required responsibilities. This may necessitate additional staff training.
- Based on the assigned UAS roles, will the organization be able to perform all required responsibilities within the UAS-NY?
- What process will be implemented to monitor and modify role assignments? Who will be responsible for this?

Special Authority for Supervisory Roles

The UAS-NY includes roles for nurse supervisors (UAS-45) and social assessor supervisors (UAS-35). These roles have authority to perform *supervisory* functions, including:

- searching your organization's case list using only part of a client's last name; this makes it easier for supervisors to find client records by displaying more records as a result;
- removing a case file from your organization's case list when you no longer require access to it, or if it was inappropriately attested to;
- deleting an un-finalized assessment in your organization's case list regardless of who in your organization created it (but not deleting assessments created by other organizations);
- accessing aggregate and ad hoc reporting functionality for your organization.

The UAS-45 also has the special authority to un-sign and unlock an assessment that has been finalized.

Note: These roles should not be broadly assigned to staff within your organization. You should carefully consider the HIPAA and HITECH implications of assigning roles with supervisory authority to your staff.

Summary of UAS Roles

The following table provides a summary description of each UAS role and is a good starting point for you to understand what level of access you are authorizing when you assign the role to one of your staff.

A more detailed definition of the roles is available in the section titled UAS Role Specifications Detail.

UAS Role Name	Generally Intended For:	Available For:
UAS-15	Administrative Staff to create individual records for their organization’s assessors, reports for their organization’s supervisors, and to enter information from medical records or doctor’s orders for assessors to review.	Local Social Service Districts Programs/Plans Waiver Service Management Agencies
UAS-20	Review/Consult to indicate participation in an assessment; this could be therapists (OT, PT, ST), supervisors, directors, and others who need to indicate that they have reviewed or were involved in the assessment.	Local Social Service Districts Programs/Plans Waiver Service Management Agencies
UAS-30	Social Assessors to conduct and contribute to assessments.	Local Social Service Districts Programs/Plans
UAS-35	Social Assessor Supervisors to review and manage assessments and reports for their organization.	Local Social Service Districts
UAS-40	RN Assessors to conduct and sign assessments.	Local Social Service Districts Service Providers
UAS-45	RN Assessor Supervisors to review and manage assessments and reports for their organization.	Local Social Service Districts Programs/Plans
UAS-50	Managers to review assessment, workflow and administrative reports for their organization. Managers who are responsible for authorizing services as a result of an assessment may sign an assessment using the “Review/Consult” capability.	Local Social Service Districts Programs/Plans Waiver Service Management Agencies

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. Those functions are described in the following sections.

Creating HCS User Accounts

Every user of the UAS-NY 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 UAS-NY. Your HCS Coordinator is familiar with the procedures for creating new HCS user accounts. Please note that a new paperless process to create HCS User Accounts is available. If they need assistance, they can reach 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 requires assertion of Trust Level 3 (TL3) assurance for *all* UAS-NY users.

TL3 assurance for UAS-NY access will be enforced via HCS user account credentials. *All of your organization's UAS-NY users' HCS accounts must be credentialed to TL3 assurance in order to use the UAS-NY.*

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 driver's license or a non-driver identification card.

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 can be a driver's license or a 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 provision Trust Level 3 for each other.

The section of this document titled *Establishing Trust Level 3 Assurance* 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 UAS Roles

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

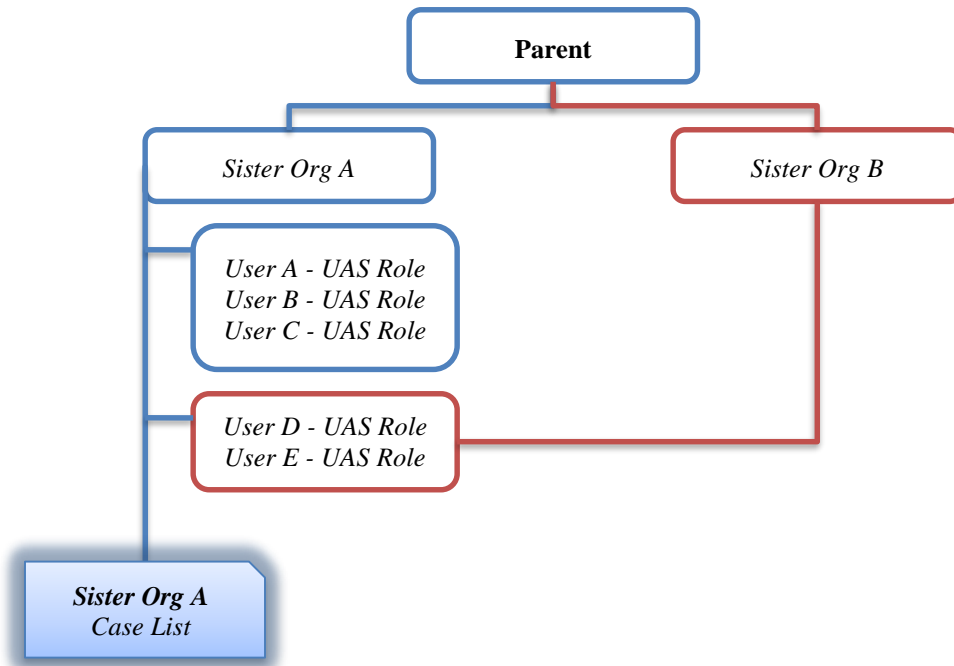
The HCS is designed with considerable flexibility where role assignment is concerned. It will be valuable for you and your HCS Coordinator to understand some nuances of how role assignment works in the HCS.

When you assign a UAS role to a user under the auspice of your organization, that user will have access to your organization's case list in the UAS-NY; further, every action the user takes in the UAS-NY will be associated with your organization. Review the section titled *Access to Client Data* to refresh your understanding of this implication.

The HCS allows you to assign, under the auspice of your organization, a UAS role to *any* person who has a HCS account, regardless for which organization the person works. This unique flexibility means it is possible to assign a UAS role under your organization to someone who does not work for your organization; in doing so, you would be granting that person access to your organization's case list in the UAS-NY. In this case, they are effectively working for your organization.

While in most instances this flexibility is not desirable, there are instances when it may be. As an example, you may work for a dynamic organization that consists of multiple entities under one parent; multiple entities under the parent organization may be referred to as "sister" organizations. Your program or plan may be relying on staff in a "sister" organization to contribute to assessments or otherwise participate in a client's case. Rather than building multiple case lists (one for each sister organization), you may consider building a single case list under one organization and grant access to it by assigning the appropriate UAS role to staff members in the sister organization.

The following diagram depicts the example described.



Note: This approach is *not* recommended for handling subcontracted or vendor staff. Please call the UAS-NY project team for clarification if you are considering this option.

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 HCS and the UAS-NY* provides step-by-step procedures for accessing the UAS-NY application within the HCS. You should give copies of this one-page reference to your users. This resource will help staff become familiar and comfortable with the HCS. In addition, this reference points staff to available HCS training resources.

UAS-NY START-UP ACTIVITIES FOR YOUR ORGANIZATION

The final step of your UAS-NY implementation will be to perform a series of procedures that will organize your client data and prepare for your assessors to conduct UAS-NY Community and Pediatric Assessments.

The procedures described below are strictly start-up procedures; once established, some of the procedures will be automated by the system in the future. Each procedure is supported by one or more training courses in the UAS-NY Training Environment. The procedures may be performed by a person in your organization who has the administrative role of UAS-15; the tasks may also be performed by others.

Completing these procedures *prior* to an assessment being scheduled will minimize the amount of time that an assessor spends preparing for the assessment, either in the office or in the field.

The procedures to be completed, in order, are:

1. Build your organization's case list. (*UAS-NY training available.*)
2. Verify and update an individual's demographic and address information. (*UAS-NY training available.*)
3. Create an Enrollment entry in the client's case file (authorized programs/plans only). Enrollments should only be added when enrollment/membership is confirmed. (*UAS-NY training available.*)

When an assessor goes into the field to conduct the client's assessment using the UAS-NY, the assessor will:

1. Add an assessment
2. Conduct and sign and finalize the assessment.
3. Conduct and sign and finalize the Assessment Outcomes.

PROCEDURAL AND REFERENCE MATERIALS

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

Resource Name	Description
Establishing Trust Level 3 Assurance	Step-by-step instructions for establishing HCS user account Trust Level 3 assurance. Page 27 .
Managing UAS Role Assignments	Step-by-step instructions for managing and assigning UAS roles in the HCS. Page 30 .
Accessing the UAS-NY	Step-by-step instructions to access the UAS-NY web-based application. Page 32 .
UAS-NY Training Environment	Special notes about working in the UAS-NY Training Environment. Page 35 .
Information Technology Specifications	Technical information to support your Information Technology staff. Page 38 .
UAS Role Specifications Detail	More detailed specification of the UAS-NY role definitions. Page 43 .

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 application. You must be an **HCS Coordinator** or you will not have access to the tool used in the following procedure.

A person may be affiliated with multiple organizations in the HCS, but only one organization will serve as the user’s primary organization. If a staff person’s HCS account is not primary to your organization, please call the UAS-NY Support Desk during regular business hours and we will walk you through how to provision Trust Level 3 to that users account.

- 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 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.
Name in HCS does not match NYS Identification.	If the person’s name is not correctly specified in their HCS account, the person must contact CAMU at 866-529-1890, option 1 to correct their HCS account information. 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 Identification.	The person must go to a NYS DMV office to secure a valid identification card.
Person’s name does not display in the Managed People list of users.	Use the Communication Directory Role Look-up Tool in the HCS to verify that the person has a valid HCS account. If they have a HCS account, determine the primary organization associated with the account. If your organization is not the primary organization, call the UAS-NY Support Desk during regular business hours for assistance.

Assigning UAS Roles

You must be an **HCS Coordinator** or you will not have access to the tool used in the following procedure to provision UAS roles to staff HCS accounts.

- 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 UAS roles. Assigning a UAS 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.
- The Role Information for the selected role will be displayed.

Role Description	Person in Role	Modify	Role Assignments	Role Description	Person in Role	Modify	Role Assignments
Chief Executive Officer or President	No	Modify	CEO, Coordinator	CEO, Coordinator	No	Modify	
HCS Organizational Security Coordinator	DOH Assigned	Modify	MAP2 Coordinator	MAP2 Coordinator	No	Modify	
MAP2-POC	No	Modify	MAP2 Lead	MAP2 Lead	No	Modify	
MAP2 Reporting & Analysis	No	Modify	Medical Director	Medical Director	No	Modify	
Order Official Prescriptions	NA	Modify	PPR Reporting & Analysis	PPR Reporting & Analysis	Yes	Modify	
UAS-SE	Yes	Modify				Modify	
UAS-30	No	Modify				Modify	
UAS-45	Yes	Modify				Modify	
UAS-NY	Yes	Modify			NY 11	Modify	

- Check the box next to each user to whom you want to assign the selected UAS role, and then click on “Add Role Assignment.”

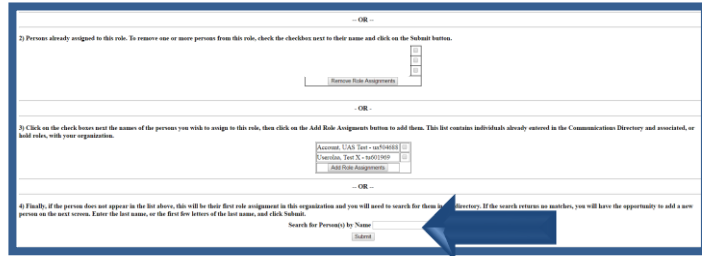
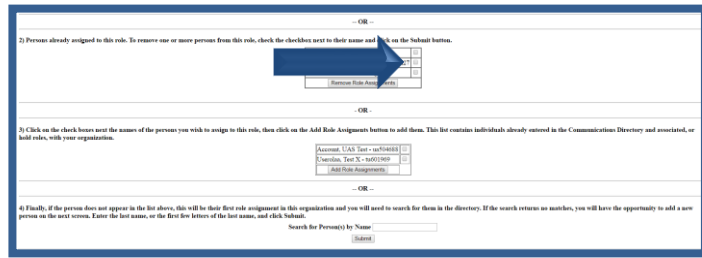
Note: Before assigning a UAS role, you must ensure that the access and authority granted for the role is consistent and appropriate for the staff person.

- 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, highlight the name of the person you would like to add to the role and click on “Add Role Assignments.”

- When the list of users is displayed, accounts that are not active have an NA after them. Do not assign roles to these accounts.

Note: Searching the directory will enable you to locate *any* person who has an HCS account, not just persons who work for your organization. Review the section titled *Assigning UAS Roles* to ensure you understand the implications of doing this.

- If the user to whom you want to assign the role is not on the list, the user does not have a HCS account. You must create an account for them before they can be assigned to a UAS role.



Accessing the HCS and the UAS-NY Application

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

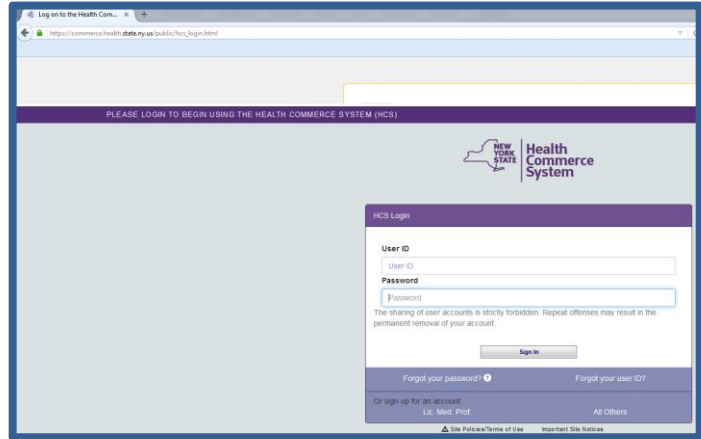
Individual HCS accounts are required for all users to access the UAS-NY.

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

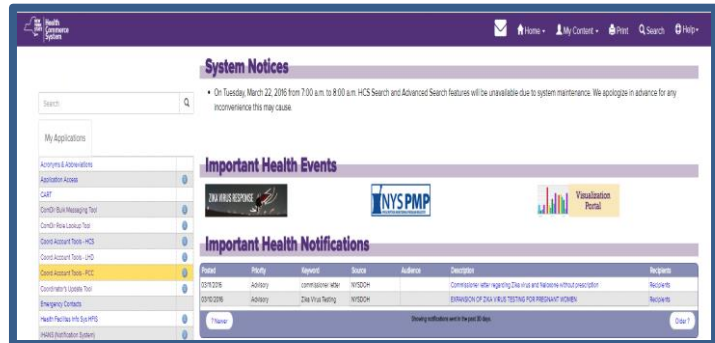
<https://commerce.health.state.ny.us>

This will bring you to the login page.

Note: <https://>

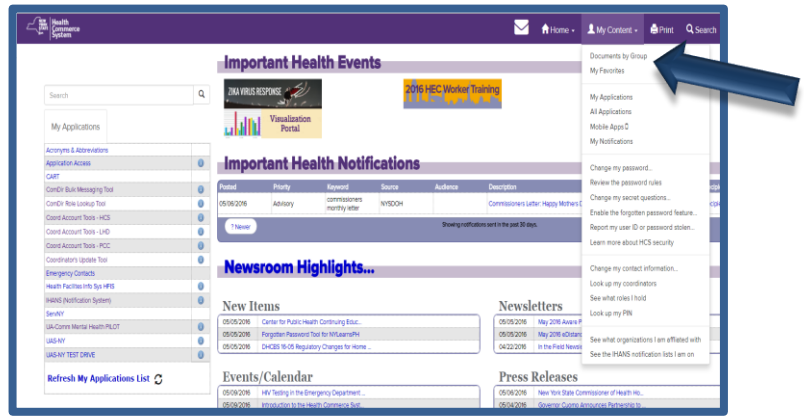


- At the login page, enter your HCS username and password.
- You will be directed to the HCS Portal after logging in.



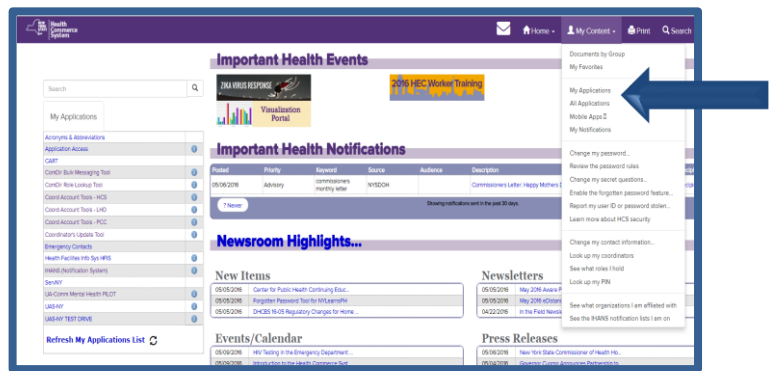
- The HCS Portal provides a variety of resources. To learn about the HCS:

- Select “My Content”
- Select “Documents by Group”
- Select “Getting Started”
- Select “Training”
- Select “HCS Portal My Account Quick Reference Card”



- To access the UAS-NY application, click on the “My Content” drop down.

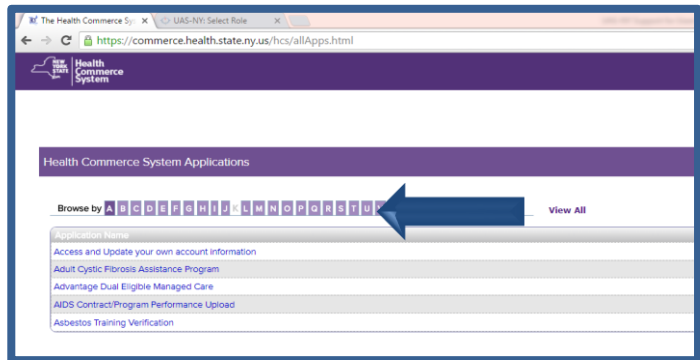
- Select All Applications



- 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 display. Click on the letter “U”. A list of the HCS applications beginning with U will display.

- Click on Uniform Assessment System for New York.



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

	Organization Name	Role Name
<input type="radio"/>	Z TES	UAS-40
<input type="radio"/>	Z Test County Department of Social Services	UAS-40

- The UAS-NY will prompt you with the Organizations/Role Selector page. The organization and roles that you have been assigned are displayed as selections.
- Select your organization and role by clicking on the circle next to the organization and role you wish to use.
- The UAS-NY will prompt you with the Organization/Role Confirmation page.
- The training courses that are Required and Recommended for the role you selected are displayed on this page.
- Click on the course you wish to take to proceed into the UAS-NY Training Environment and into the course.
- Once a user has completed all required training for the role selected, he/she can click the Continue button on the Organization/Role Confirmation page to proceed to the Case List Search Window page.

Accessing the UAS-NY Training Environment

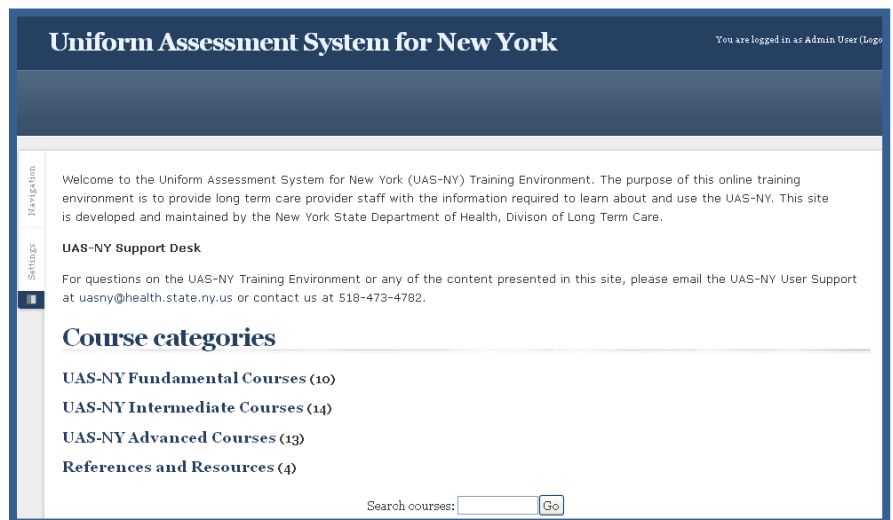
The UAS-NY Training Environment includes a variety of resources to help users learn about and quickly start using the UAS-NY application and assessments. Each course covers a specific topic which enables you to quickly identify what you need to learn, complete the course, and use the UAS-NY. Additional materials are available to help you gain a more in-depth understanding of the UAS-NY. The Training Environment is designed to serve users as an ongoing resource.

UAS-NY Course Categories

All of the UAS-NY Training Environment resources are organized by “Course Categories.” The four (4) course categories are:

UAS-NY Fundamental Courses

- To begin your training, select this link to access the “1000 Level” courses, which provide you with the basic information about the application and assessment instruments.
- You must complete all courses listed as **Required** for your role before you can begin using the UAS-NY application and assessment. Once you gain some experience using the application, proceed to the **Recommended** Intermediate and Advanced level courses associated with your role.



UAS-NY Intermediate Courses

- Select this link to access the “2000 Level” courses.
- Courses in this category provide greater detail on the UAS-NY application and assessment instruments.

UAS-NY Advanced Courses

- Select this link to access the “3000 Level” courses.
- Courses in this category provide information on specific functions used by users provisioned specific roles.

References and Resources

- Select this link to access additional materials to help you understand and use the UAS-NY including:
 - UAS-NY Reference Manuals and User Guides
 - Frequently Asked Questions (FAQs)
 - Assessment Outcomes
 - UAS-NY Reports

- Online and Offline Application

To access the Course Navigation page displayed above, a user must first click on and open a course in the UAS-NY Training Environment. On the Topic Outline page, click on “Home” in the breadcrumb trail just above the words “Topic Outline.”

Special Notes on the UAS-NY Training Environment

The UAS-NY Training Environment uses Moodle (www.moodle.org) for its learning management system (LMS). Like any other LMS, it helps to know certain features to get the most out of the UAS-NY Training Environment. Below are a few quick tips for using the UAS-NY Training Environment.

Maximizing the Screen

- The LMS uses “blocks” to support certain features.
We will not use blocks in any of our courses.



To minimize the blocks

- Place your cursor in the upper right hand portion of the block until the “Move this to dock” message is displayed.
- Click the mouse once to minimize the block.



General Course Design

- Each course includes an introduction, modules and activities. You are encouraged to complete these in the order presented.
- Activities may be basic web pages, videos, links to .pdf files, exercises, and quizzes.
- Video and .pdf files are displayed in “pop-up” windows.
- An exercise is not graded.
- A quiz is graded; you must achieve a minimum score to proceed to subsequent modules or activities.

Recording Completion of a Video or Reading a PDF

To record the completion of a video or the reading of a .pdf file:

- Close the pop-up window.
- Press “F5” on your keyboard to refresh in your browser.

- A check mark (✓) will appear to the right of an activity to mark completion.
- Print .pdf files by using the browser's print function.

Course Enrollment

- The UAS-NY will automatically enroll you in courses based on your UAS role.

Information Technology Specifications

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

UAS-NY Applications

The UAS-NY may be used in one of two ways.

- The first is by logging into the Health Commerce System and starting the UAS-NY. This is a web-based application and requires internet connectivity.
- The second is by starting the UAS-NY Offline Application. This is a standalone application installed on a (laptop) computer. This application will be used when your organization's assessors are in the field and do not have internet connectivity.

To adequately support your organization's users, you will need to understand the technical implications for each of these types of access.

Health Commerce System (HCS)

The HCS is the New York State Department of Health's (NYS DOH) web portal; this is the first point of entry for access to the UAS-NY.

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. These accounts are established and maintained by your organization's HCS Coordinator in conjunction with NYS DOH.

UAS-NY Online Application

Users who access the UAS-NY Online Application require no special security measures beyond HCS and UAS-NY access protocols and your organization’s policies regarding access to HIPAA and HITECH protected data.

The following table presents the technical requirements for using the UAS-NY Online Application.

UAS-NY Online 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 (<i>min</i>) Speakers and/or headphones	MS Windows Vista MS Windows 7 MS Windows 8 Windows 10	Internet Explorer 9 Internet Explorer 10 Internet Explorer 11 Firefox (latest) Chrome (latest) NOTE: The MS Edge browser in Windows 10 is not supported	128-bit encryption (minimum) Browser set to accept cookies Pop-up blocker disabled JavaScript enabled Disable VPN while accessing Training Environment	Java version 6 Java version 7 Adobe Flash Player Adobe Reader Windows Media Player

UAS-NY Offline Application

Users who use the UAS-NY Offline Application will be storing HIPAA and HITECH protected data on their computer (e.g. laptop). Your organization is responsible for the data that is stored on your organization’s computers; you must take additional steps to protect it.

The UAS-NY Offline Application requires the installation of the application on the computer (e.g. laptop). The installation instructions are available with the installation program.

The following table presents the technical requirements for using the UAS-NY Offline Application.

UAS-NY Offline Application				
Hardware Specifications	Operating Systems	Supported Browsers	Settings	Software Requirements
Core 2 Duo processor (laptops circa 2008 or newer). 4gb memory. Appropriate security measures (e.g. disk level encryption, etc.). Internet connection (required to prepare the laptop for working offline; once prepared, assessments may be conducted without internet access). 1024 x 768 screen resolution (<i>min</i>)	MS Windows 7 MS Windows 8 MS Windows 10	Internet Explorer 9 Internet Explorer 10 Internet Explorer 11 Firefox (latest) Chrome (current) NOTE: The MS Edge browser in Windows 10 is <u>not</u> supported	128-bit encryption (minimum) Browser set to accept cookies Pop-up blocker disabled JavaScript enabled Encryption Set to TLS 1.1 or later	Installation of the UAS-NY Offline Application Java Adobe Flash Player Adobe Reader

Supported Technologies and Devices

This section clarifies the use of tablets with the UAS-NY Online Application in the context of supported technologies and devices. For purposes of clarification, "tablet" is a term being used to refer to non-traditional portable computer devices (i.e. not traditional laptop computers) that use either iOS or Android operating systems, can be used over WIFI or cellular data networks, and typically have only a touch-screen display. For example: iPad, Google Nexus, etc.

In the spring of 2012, the UAS-NY project team conducted an analysis of the viability of using a tablet to access and use the online UAS-NY application to conduct assessments. The

analysis was conducted using the Safari browser on an iPad 2. The UAS-NY was found to work satisfactorily with the Safari browser on an iPad 2 with the following exceptions:

- right mouse-click functionality was not available,
- minor display issue when switching to landscape mode,
- imprecise touch area,
- minor .pdf output formatting on reports, and
- touching the "home" button left the user logged into the HCS portal (i.e. the user remained logged into the HCS portal, which is a potential security risk).

At the time this analysis was conducted, the iPad was the only tablet available on the market. Since the time of this analysis, the tablet technology market has seen:

- the inclusion of Android-based tablets,
- an increase in the variety of tablet sizes (7", 8", 9"), and
- an increase in the variety of available browsers across both iOS and Android devices.

Tablet Support Statement

The continued volatility of this technology environment makes it impossible for the DOH to verify and support the growing range of all possible tablets.

While the UAS-NY Online Application may work with any given tablet, the DOH will not provide phone or other support related to functionality failures on these devices. Should you choose to attempt to use a tablet, please be aware of this support limitation, and also ensure adherence to the published technology specifications for the UAS-NY:

- 1024 x 768 minimum screen resolution,
- 128-bit encryption (minimum) on the browser,
- browser set to accept cookies,
- pop-up blocker disabled, and
- JavaScript enabled.

Internet Connectivity and Browser Settings

For **Internet Explorer 10** users, set the following tabbed browsing settings

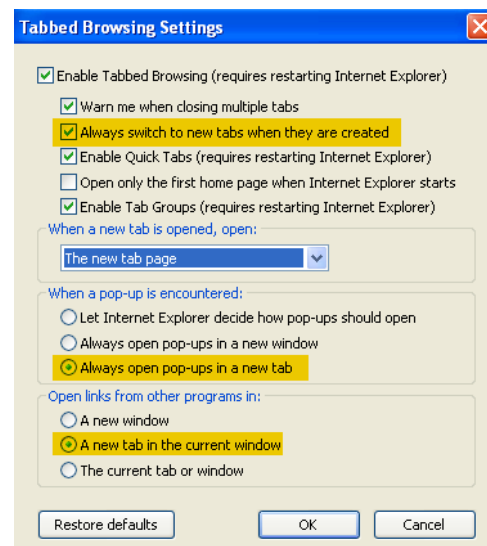
- “Always switch to new tabs when they are created.”
- “Always open pop-ups in a new tab.”
- “Open links from other programs in a new tab in the current window.”

For **Mozilla Firefox** users, set the following tabbed browsing settings:

- “Open new windows in a new tab instead.”

Network and Firewall Settings:

- The UAS-NY application uses an https protocol, which is handled by Port 443. Ensure that Port 443 must be open for inbound and outbound traffic.



UAS Role Specifications Detail

UAS-NY Functional Capability	UAS-15 Admin	UAS-20 Review/ Consult OTPIST	UAS-30 Social Assessor	UAS-35 Social Assessor Supervisor	UAS-40 Nurse Assessor	UAS-45 Nurse Assessor Supervisor	UAS-50 Managers
Access To Client Data							
Edit or <i>View</i> a person’s demographic information.	Edit	<i>view</i>	Edit	Edit	Edit	Edit	<i>view</i>
Search your organization’s case list based on only a single field of data (e.g. last name).	-	-	-	✓	-	✓	✓
Conduct a search of the statewide database.	✓	✓	✓	✓	✓	✓	✓
Attest on behalf of your organization to access a case file and add it to your organization’s case list.	✓	✓	✓	✓	✓	✓	✓
Remove a case file from your organization’s case list.	-	-	-	✓	-	✓	✓
Create a new case file record for a person not found in the statewide search.	✓	-	-	✓	-	✓	-
Add enrollment entries	✓	-	-	✓	-	✓	✓
Delete and/or disenroll enrollment entries	-	-	-	✓	-	✓	✓
Conducting Assessments Online							
Initiate an assessment or reassessment.	✓	-	✓	✓	✓	✓	-
Edit or <i>View</i> assessment information (excluding Medications and Disease Diagnosis).	Edit	<i>view</i>	Edit	Edit	Edit	Edit	<i>view</i>
Edit or <i>View</i> Medications and Disease Diagnosis.	Edit	<i>view</i>	Edit	Edit	Edit	Edit	<i>view</i>

UAS-NY Transition Guide

UAS-NY Functional Capability	UAS-15 Admin	UAS-20 Review/ Consult OTPTST	UAS-30 Social Assessor	UAS-35 Social Assessor Supervisor	UAS-40 Nurse Assessor	UAS-45 Nurse Assessor Supervisor	UAS-50 Managers
Grant edit rights and edit/finalize rights for an assessment with another organization	-	-	✓	✓	✓	✓	-
Conducting Assessments Offline							
Use the UAS-NY Offline Application	-	-	✓	✓	✓	✓	-
Resolve offline/online data conflicts	-	-	✓	✓	✓	✓	-
Signing Assessments							
Sign an assessment as a social assessor	-	-	✓	✓	-	-	-
Sign and finalize an assessment as a nurse assessor (includes merging redundant assessments)	-	-	-	-	✓	✓	-
Unfinalize and unlock an assessment	-	-	-	-	-	✓	-
Sign as a reviewer or consulting participant on an assessment.	-	✓	✓	✓	✓	✓	✓
Delete an unfinalized assessment that the user has created	✓	-	✓	✓	✓	✓	-
Delete any unfinalized assessment in your organization's case list	-	-	-	✓	-	✓	✓
Sign assessment outcomes	-	-	-	-	✓	✓	-
Unsign assessment outcomes	-	-	-	-	✓	✓	-
UAS-NY Reports							

UAS-NY Transition Guide

UAS-NY Functional Capability	UAS-15 Admin	UAS-20 Review/ Consult OTPTST	UAS-30 Social Assessor	UAS-35 Social Assessor Supervisor	UAS-40 Nurse Assessor	UAS-45 Nurse Assessor Supervisor	UAS-50 Managers
Individual Reports	✓	✓	✓	✓	✓	✓	✓
Aggregate Reports	✓	-	-	✓	-	✓	✓
Ad Hoc Reports	✓	-	-	✓	-	✓	✓

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?

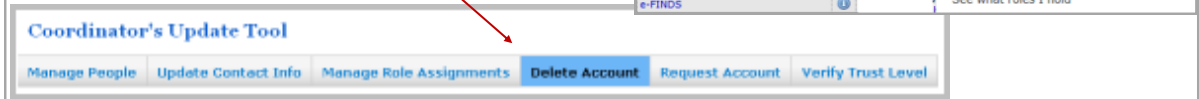
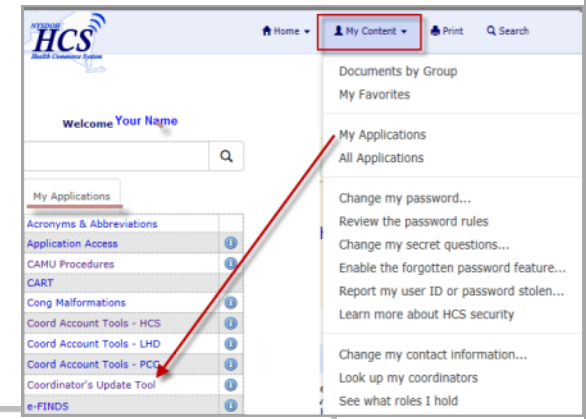
To uphold the integrity of the Health Commerce System and prevent security breaches.

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**

Delete User

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

Test, Test

No account on file

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.

Multi-factor Authentication Quick Reference Guide

The **Multi-factor Authentication (MFA)** is a method of access which a user can pass by successfully presenting several separate authentication stages. It will provide another security level to an HCS application that contains protected health information (PHI) or personal identifying information (PII). Users of the MFA protected applications will be able to choose how they will authenticate MFA, by SMS (text message) or voice call. However, to use the MFA feature, the user will need to enroll their MFA information using their valid NYS driver license or non-driver photo ID. If they do not have one, they must see their HCS Coordinator in person who can enroll them with a valid photo ID.

User steps...

or

HCS Coordinator steps...

What is needed to enter MFA information...

1. A valid NYS driver license or non-driver photo ID
2. If you **do not** have a valid NYS driver license or non-driver photo ID, **stop here and see your HCS Coordinator**.

Where do I locate the MFA feature...

1. Open a web browser.
2. Go to HCS — <https://commerce.health.state.ny.us>
3. Enter your User ID and Password
4. Click **Sign In**
5. Click **My Content** in the upper right corner
6. Click **Change My Contact Information...**
7. Click the **MFA Information** tab

MFA Information

How do I enroll my MFA information...

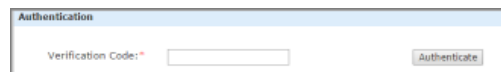
1. Enter your DMV ID or non-driver photo ID
3. Enter your date of birth (YYYYMMDD format)
4. Select your gender
5. Enter your zip code
6. Click **Submit**
7. Select how you want to receive the type of authentication (SMS or Voice)
8. Enter the phone number where the validation code should be sent



Information entered successfully, you will see **DMV check successful. Please enter MFA information**. If your DMV validation is not successful, call CAMU at 1-866-529-1890 option 1 for assistance with your account matching DMV or see your HCS Coordinator to be enrolled.

How do I use the MFA feature...

1. Click the application that requires MFA in your My Applications
2. You will receive the verification code either SMS or Voice
3. Enter the verification code
4. Click **Authenticate**



What is needed to enter my user's MFA information...

1. You will need to validate the user in person
2. The user must have a valid photo ID

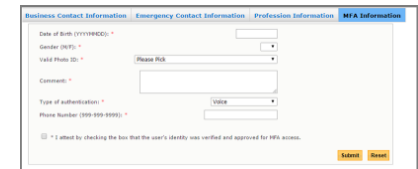
Where do I locate the MFA feature...

1. Open a web browser.
2. Go to HCS <https://commerce.health.state.ny.us>
3. Enter your User ID and Password
4. Click **Sign In**
5. Click **Coordinator's Update Tool** in your My Applications
6. Select the organization (if not selected)
7. Click **Manage People**
8. Click the user's name link
9. Click the **MFA Information** tab

MFA Information

How do I enroll my user's MFA information...

1. Enter the user's date of birth (YYYYMMDD format)
2. Select the user's gender
3. Select the user's valid photo ID
4. Enter the user's ID info in **Comments** :
Photo ID Account Number
Photo ID Expiration Date
Database used to validate the Photo ID
Method used to validate the Photo ID against the selected database/issuing agency
2. Select how the user wants to receive the type of authentication (SMS or Voice)
3. Enter the user's phone number the validation code should be sent to
4. Check the checkbox to attest that you verified the user's identity
5. Click **Submit**



Information entered successfully, you will see **MFA information saved successfully**.

Need help...

- MFA questions—Send an email to hcsoutreach@health.ny.gov.
- **I locked my account!** User's will have three chances to enter the MFA validation code successfully in an application. After three failed attempts, they will be logged out HCS and their account will be locked.
 1. They must contact the Commerce Accounts Management Unit (CAMU) at 1-866-529-1890 option 1 to have their account unlocked.

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 are needed. Applying for an HCS user account is as simple as filling out an online form and having a valid Photo ID, such as a NYS DMV Driver's License, NYS DMV Non-driver Photo ID, Passport, etc. People that do not have a valid 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:

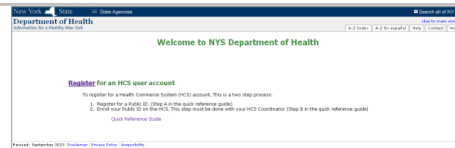
1. Register for an account
2. Enroll your account on the HCS. This step must be done with your HCS Coordinator

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>

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 Photo ID
2. Create a user ID and password, click **Continue**
3. Answer at least six of the 27 secret questions, click **Register**
4. Confirm your account information, and click **Confirm**
5. Print your NYSDOH Account Registration Completion information, click **OK**
6. Print your confirmation email that your user ID was created
7. See your *HCS Coordinator with your NYSDOH Account Registration Completion email printout, and your 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. Select **Yes, they have a Valid Photo ID**

Does the user have a Valid Photo ID, such as a NYS DMV Driver's License, NYS DMV Non-driver Photo ID, Passport, etc.

- **Yes, they have a Valid Photo ID**
This process requires their name to match their Photo ID exactly. If it does not match, you may click "No they do not have... link, even if they have Valid Photo ID, to fill out the hardcopy form for an account.
[Quick Reference Guide](#)
- **No, they do not have a valid Photo ID**
This process is by hardcopy and can take up to seven business days to obtain an HCS account.

5. Select your organization from 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 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 user ID and password they created and sign in the HCS (<https://commerce.health.state.ny.us>)



C. User steps...

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 user ID and password that you created when registering

HCS Portal: Trust Level

What is a Trust Level?

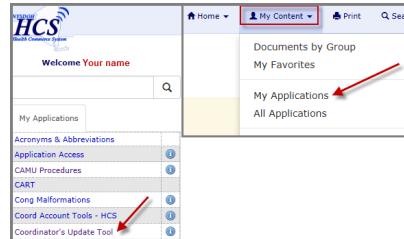
A **Trust Level** is the level of confidence that a person's identity has been verified. There are two trust levels. All HCS users are currently a Trust Level 2. Trust Level 3 will allow successfully identified users access to specific secure applications.

What does the Trust Levels mean?

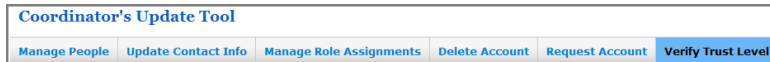
Trust Level	Description
2	Some confidence in the validity of a person's identity. The identity level has been verified by a notary.
3	High confidence in the validity of a person's identity. The identity level has been verified by a NYS driver license or NYS Non-driver Photo ID.

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**



to



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?

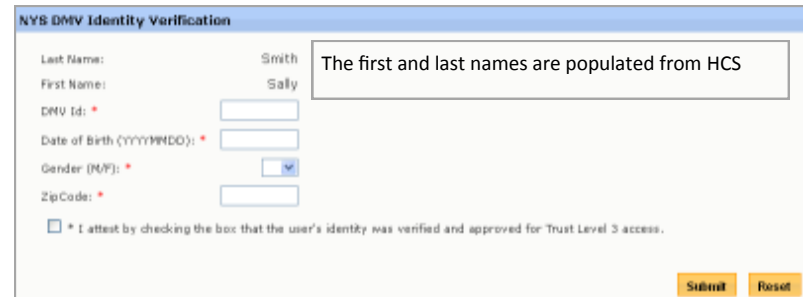
To upgrade an HCS user's account to Trust Level 3, the user must have:

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 in person 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.