



In order for an adoption record to be properly sealed, a series of adoption finalization and discharge steps must be completed in a specific order in CONNECTIONS, WMS and Activities. When correctly done, the Child Case Record (CCR) is sealed and may only be accessed by workers assigned the Access Sealed Adoption business function plus access to the closed stage via Access All District, historical access or Agency Access paths.

This tip sheet is for district adoption workers, eligibility workers and others who are responsible for finalizing an adoption, entering Activities codes and sealing the record in CONNECTIONS.

Preparatory Tasks in CONNECTIONS

Prior to finalizing an adoption and closing the CCR stage it is important to ensure that all necessary documentation has been completed in the Child Case Record, including:

- all progress notes, casework contacts and Third-Party SPR notes have been entered
- any in-process PHR has been finalized
- required AFCARS and NYTD data, including health and education information, has been recorded
- no unfinished placement requests for the child exist in the Placement Module, on the Placement Dashboard or awaiting navigation in Activities



At no time should the name of the child being adopted be changed in the Person List of the Child Case Record (CCR).

If there is to be a name change, it will be recorded in the CONNECTIONS Finalize Adoption window.

Open a FAD Adoption Subsidy Stage

If the child being adopted will be receiving an adoption subsidy, ***before*** the subsidy application can be submitted, the district must open an **Adoption/Guardianship FAD stage** in CONNECTIONS with the type of Adoption Subsidy Home. ***Only districts can open this type of stage since only districts pay subsidies.*** This stage will be forever linked to the subsidy application and will need to be open to make any changes to the subsidy in the future (e.g., change of address, payee name change.)

This stage will need to be created in one of two ways, depending on where the child is placed.

1. **If the child's foster care placement is with a voluntary agency that does NOT have corporate authority to do adoptions,** the district must open a new FAD stage with a new VID

The screenshot shows a software interface titled "Current License Information". It features a dropdown menu for "Setting" with "Adoption or Guardi" selected. To its right is a "Facility Type" dropdown menu with "Adoptive Home" selected. Other visible fields include "Min Year", "Min Month" (set to 1), and "M".

using the setting of **Adoption or Guardianship** and the Facility Type of **Adoptive Home**.

The **Adoptive Home** type stage is used to document the district's approval of the family to adopt and to have the Adoptive Home Study and other required FAD forms uploaded and linked to it.

Once this is done, the stage type must be changed in CONNECTIONS from **Adoptive Home** to **Adoption Subsidy**. The stage's Resource ID/ Vendor ID is then used in the subsidy application.

OR

See the *Resolving Common Adoption Subsidy Database-CONNECTIONS Issues* tip sheet for information on opening an Adoption Subsidy type home.

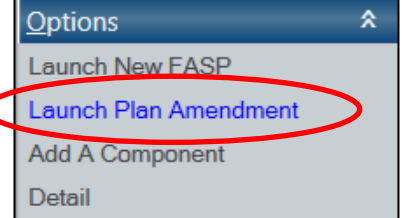
2. **If the child is placed in a district or voluntary agency approved Foster/Adoptive home**, the district must open a new FAD stage with the setting of **Adoption or Guardianship** and the Facility Type of **Adoption Subsidy**. The Resource ID/Vendor ID of this stage is then used when submitting the subsidy application.

Complete a Plan Amendment or FASP



The following steps should not be undertaken until AFTER the adoption has been finalized in court.

1. Select the CCR stage on the workload.
2. Click the **FASP** link in the navigation pane.
3. On the FASP window, click the **Launch Plan Amendment** link in Options section of the navigation pane.



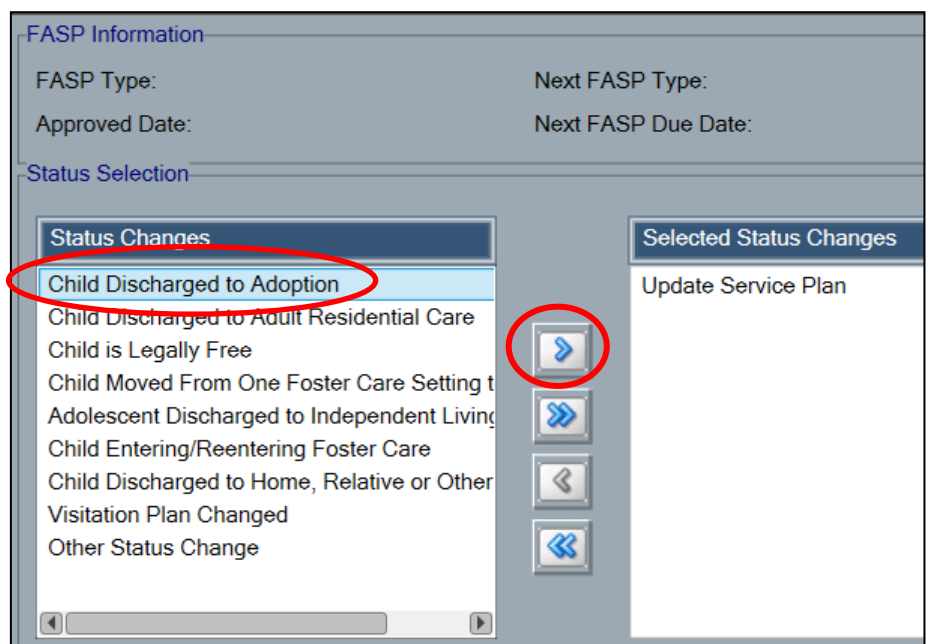
If you receive a pop-up message saying that a FASP is available for launch, click the "Yes" button to acknowledge the Family Services Stage is closing and proceed with the launching of the Plan Amendment.

If a FASP is already in-process, you may record the discharge to adoption in the Discharges node of the FASP, following the instructions on the next page of this tip sheet.

4. On the Plan Amendment Maintenance window, select the Status Change of "**Child Discharged to Adoption**".

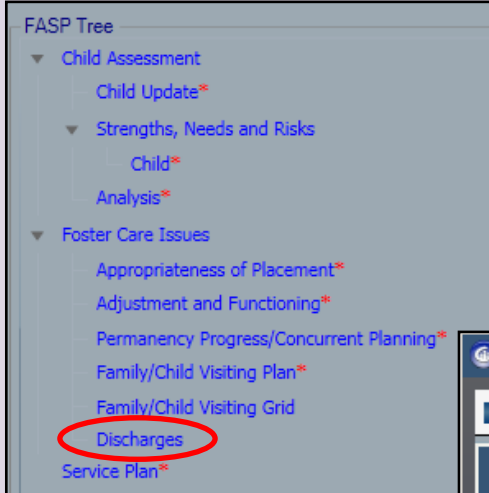
This choice is only available in CCR stages.

5. Use the right pointing arrow to move this choice to the Selected Status Changes box.
6. Click the **Save & Close** button.



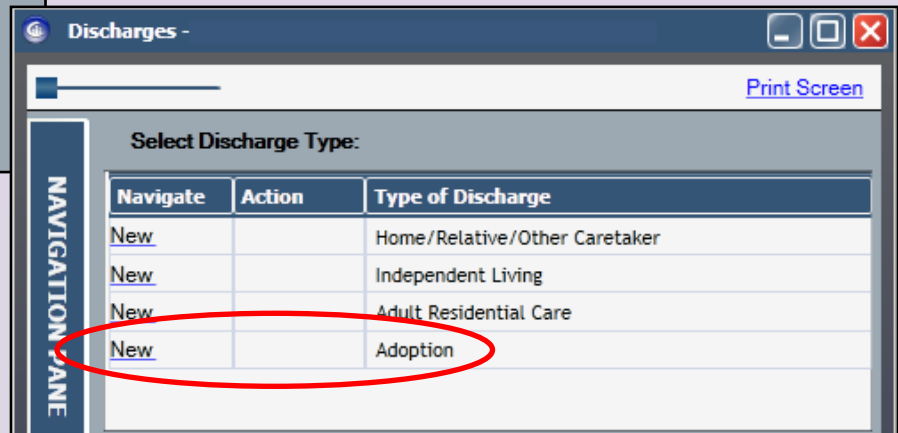
If a FASP is Already In Process

If a FASP is already in process, you can complete the FASP, adding a section to document the discharge, rather than doing a Plan Amendment.



- A. Open the FASP and select the **Discharges** link under the Foster Care Issues section.
- B. Click the **New** link for Adoption in the Discharges window.

Reminder:
Reassessment FASPs cannot be submitted for approval more than 30 days before their due date.

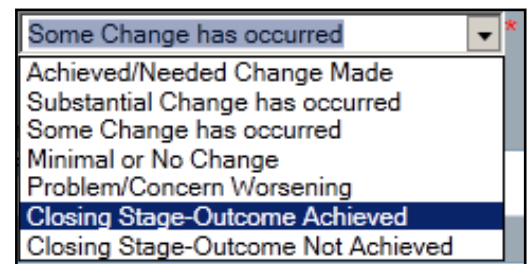


- C. Record the narrative on why the decision was made to finalize the adoption at this time.
- D. Click “Yes” or “No” to indicate whether the adoptive family has been told of the availability and scope of post-adoptive services.
- E. Record the family’s response or why they haven’t been told.
- F. Click the **Save** button.

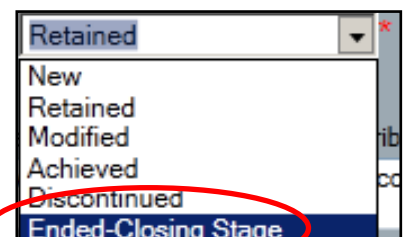
Continue with step 7 below.

7. In the O&A Block Details window of the FASP or Plan Amendment Service Plan module, review the status of any remaining Outcome & Activity blocks.

8. In the **Level of Outcome Achieved** field, mark each as either “Closing Stage-Outcome Achieved” or “Closing Stage-Outcome Not Achieved”.



9. In the **O&A Status** field on the O&A Block Detail window, choose “Ended-Closing Stage”.



Note: You must use the “closing stage” options when no goals will be continuing forward in order to pass the system edits needed to submit the FASP or Plan Amendment for approval.

10. Complete the remainder of the Plan Amendment or FASP.
11. Submit the completed Plan Amendment or FASP for approval using the **Save & Submit** link in the Check FASP Detail navigation pane.



NOTE: *Even though you have documented that the stage is closing, the approval of the FASP or Plan Amendment alone does not close the case. Like other closings in CONNECTIONS, another step is needed, that of submitting the stage for closure.*



Keeping Records Confidential

- A CIN is considered part of the confidential record for an adopted child and must be protected to prevent exposure of any identifying information. Suppression of the pre-adoptive CIN helps prevent in the inadvertent or inappropriate disclosure of confidential adoption information. Suppressing the pre-adoptive CIN system generates a Social Security Validation Code of “S”, which prevents the assignment or reuse of the associated CIN and removes the Social Security number (SSN). *For more information regarding the CIN suppression process, see GIS #15-008 and GIS #14-004.*
- If the child is not being assigned a new Social Security number and the original (pre-adoption) SSN is being retained, **DO NOT** enter the child’s original (pre-adoption) SSN on the WMS Services Adoption Subsidy case or the Adoption Subsidy Medicaid case until **AFTER** the pre-adoptive CIN is suppressed (A599 code has been entered in Activities) as this can create a link to the adopted child’s birth family and/or pre-adoptive case.
- **A CIN Consolidation should never be done to consolidate a child’s ‘new’ (post-adoptive) CIN with their original (pre-adoptive) one.**
- CONNECTIONS system edits will prevent the merging of pre- and post-adoptive PIDS with the message, “Merge Disallowed for Programmatic Reasons.”
- If a name change will be occurring, **NEVER** change the child’s pre-adoptive name (attached to their pre-adoptive CIN) in the CCR stage to their post-adoptive name as this creates a link between the pre- and post-adoptive identities.

In WMS - Create the WMS Adoption Subsidy Case (if eligible)

1. If an adoption subsidy is to be paid, open a non-child welfare WMS services case in the child’s name **as it is stated in the adoption subsidy agreement, adoption order, or new birth certificate**. This should be done as soon after the finalization as possible.

If the child’s name is not changing, you may receive an error when doing a clearance in WMS. See the WMS manual for instructions on how to override this error.

- **DO NOT** enter the child’s existing (original) pre-adoptive Social Security Number on the non-child welfare WMS service case. Instead, LDSS/ACS should enter a SSN

Indicator of '2' - SSN Applied For. Once the original CIN is suppressed, the child's post-adoptive Social Security number should be entered in WMS.

- If the adoptive parents apply for and receive a new (post-adoptive) Social Security Number for the adopted child, it should be entered in WMS with a SSN Indicator of '1'-SSN Present.
- Note the **new** WMS Services case number and the child's **new** WMS Services CIN. You will need to record these in the Finalize Adoption window in CONNECTIONS.
- To ensure that the pre-adoptive CIN can never be used again (CIN suppression), verify that all WMS cases involving the child's pre-adoptive CIN - including non-services cases (Family Assistance, SNAP, HEAP, etc.) - are closed. (*Refer to GIS #14-004-Suppression of Historical Pre-Adoptive CINS and GIS #15-008-Suppression of Pre-Adoptive CINs for details*).

2. If the child is eligible, open an Adoption Subsidy Medicaid case using the **new** CIN.

- **If the child is not being assigned a new SSN and the original (pre-adoption) SSN is being retained, DO NOT** enter the child's original Social Security number. Enter a SSN Indicator of '2' - SSN Applied For, until AFTER the pre-adoptive CIN has been suppressed.

Note - Effective June 23, 2008, Medical Assistance Adoption Subsidy Cases may, without error, retain a SSN Code value of "2" at recertification if they also have one of the following Individual Categorical Codes:

33 - Non IV-E Adoption

34 - Non-NYS IV-E Adoption Residing in NYS

74 – IV-E Adoption

75 – Non-NYS Non IV-E Adoption Residing in NYS

76 – NYS Non IV-E Adoption Residing Outside of NYS



If the adoptive parents apply for and receive a new Social Security Number for the adopted child, enter it with a SSN Indicator of '1' - SSN Present.

In CONNECTIONS - Complete the Finalize Adoption Window

After the adoption has been finalized in court:

1. Verify that all needed case documentation (Progress Notes, Casework Contacts, PHRs, placement requests, uploads, clinical diagnosis and other AFCARS information) has been completed before proceeding further.
2. On the FASP window, verify that the FASP or Plan Amendment has been approved.
3. From the Case Manager's workload, select the CCR stage of the adopted child.

FASP Type	Status	Date
Reassessment	Approved	07/23/2018
Reassessment	Approved	12/24/2018

Only the Case Manager or someone with access to the Case Manager's workload can access and complete the Finalize Adoption window.

- Click the **Person List** link in the navigation pane.
- Select the child and click the **Finalize Adoption** link in the navigation pane of the Person List.

The Finalize Adoption window opens with Legally Freed Child information pre-filled from information in the Person List of the CCR.



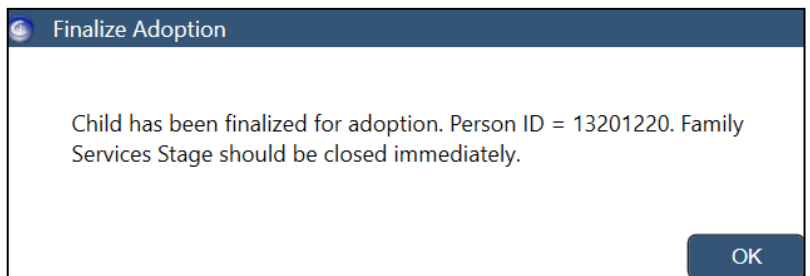
- Enter the child's new legal name or click the "Use Existing" button to reuse the child's existing name in the Adoption Finalized Child Information Person ID fields.
- Enter the child's new post-adoptive address in the Adoption Finalized Child Information Address Information fields or click the "Use Existing" button to reuse the child's existing address.
- If the child will be receiving a subsidy, enter the **POST-ADOPTIVE** WMS Services case number and the **POST-ADOPTIVE** WMS Services CIN in the Adoption Subsidy Information fields.

Enter the Post-adoptive WMS Case ID and the Post-Adoptive WMS CIN.
An error message will result and the Save button will not enable if you attempt to enter pre-adoption information in these fields.

Note: Saving this window creates a new PID for the child and allows the stage to be sealed with the correct closure reason. While further modifications can be made after the initial save, no additional PIDs will be generated after

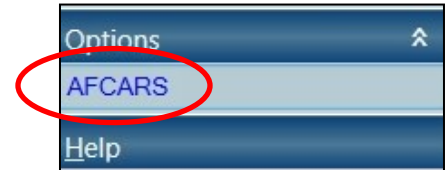
- Click the **Save** button.
A pop-up message appears with the child's new PID and a reminder that the FSS-CCR stage should be closed immediately.

- Click the **OK** button to close the pop-up message.



11. Click the AFCARS link in the navigation pane of the Finalize Adoption window.

The AFCARS Adoption Information window displays.



12. Complete the AFCARS information fields.

13. Click the **Save & Close** button when all information has been entered.

As long as the CCR stage remains open, the AFCARS Adoption Information window can accessed and updated to complete the needed information.

A screenshot of the 'AFCARS Adoption Information - Gilbert, Sam A - P:45440136' window. The window title bar includes standard OS controls and a 'Print Screen' button. On the left is a navigation pane with 'Options' (highlighted), 'Married but individually adopting definition', and 'Help'. The main area is titled 'Adoption Finalized Child - Adoption Information'. It contains several sections: 'Was the biological mother married at the time of child's birth?:' (dropdown), 'Relationship of Adoptive Parent(s) to Child:' (dropdown), 'Marital Status of the Adoptive Parent(s):' (dropdown), 'Location of Adoption Agency:' (dropdown), 'How many siblings of the child are also placed in the same adoptive home?:' (dropdown), and 'Inter/Intrajurisdictional Adoption:' (dropdown). Below these are two sections for 'First Adoptive Parent Demographics' and 'Second Adoptive Parent Demographics'. Each section includes a 'DOB:' field, a 'Race' section with radio buttons for 'American Indian or Alaskan Native', 'Asian', 'Black or African American', 'Native Hawaiian or Other Pacific Islander', 'White', 'Unknown', and 'Declined', a 'Hispanic Origin:' dropdown, a 'Sex:' dropdown, and a 'Tribal Membership:' dropdown. At the bottom right are three buttons: 'Save & Close', 'Save', and 'Reset'.

Entering Closing Codes in the CONNECTIONS Activities Window

1. Review the Activities window to make certain that all necessary codes (Movement, Legal, Special, Adoption) have been entered.
2. Enter the **M990-CHILD DISCHARGED FROM FOSTER CARE PROGRAM** using the date the adoption was finalized in court to document the child's exit from foster care.
3. Verify that New York State Adoption Services (NYSAS) photolisting and subsidy related adoption activity codes have been entered
4. Enter the **A599-CHILD WAS LEGALLY ADOPTED** code using the date the adoption was finalized in court.



Once the A599 code is entered and the child's pre-adopted CIN is made inactive by closing the WMS case, the CONNECTIONS system automatically prevents consolidation of the pre- and post-adoptive CINS.

Closing the CCR Stage in CONNECTIONS

Note - The CCR stage can only be closed by the Case Planner or Case Manager.

1. Prior to closing the CCR stage, check WMS to verify it is in a 'No Pend' status. *Do not proceed until any errors are corrected or pending transactions are either withdrawn or completed.*
2. From the worker's workload, select the CCR stage.
3. Click the **Close Stage** link in the navigation pane.



4. Click the **Reason Stage Closed** drop-down menu and choose the correct reason.

Once you have completed the Finalize Adoption window, the appropriate closure reason will be the only choice on this menu.

Reason Stage Closed: Adoption finalized - with Subsidy

Stage Closure Question

There is no Plan Amendment or Pending FASP for this stage. Closing and or discharge information is required by regulation. Do you wish to do one now?

If No....
Describe the level of achievement for outcomes essential to the Child(ren)'s Safety, Permanency and Well-Being.



If you see more than one choice in the dropdown menu, you have not completed and saved the Finalize Adoption window correctly!
Go back and complete the Finalize Adoption window.

5. Click the **Save & Submit** link.
6. Click **“Yes”** to “Closing this stage will close the case. Do you wish to continue?”
7. Click **“Yes”** to “This action will close this window. Do you wish to continue?”
The To Do window displays.

8. Click the **Save** button to send approval to do to Case Manager or Unit Approver.

The CCR stage will be closed and removed from the worker's workload once the closure has been approved.



Note: Closing the CCR will restrict future access to this case; it will be available only to persons with the ACC SEALED ADOP business function.

Workers assigned the MAINT ACTIVITY business function are able to enter codes in Activities for up to 60 days from the date of the A599-CHILD WAS LEGALLY ADOPTED without the ACC SEALED ADOP business function. Beyond that the ACC SEALED ADOP business function is needed to modify the Activity record.

Closing the CCR- Linked WMS Case

1. In WMS, end date the POS lines as of the **day before** the adoption was finalized.
2. Close the child's CCR-linked WMS case with a reason code of 573 (subsidy) or 574 (no subsidy).

Closing of the WMS case using code 573 (subsidy) or 574 (no subsidy) system generates the Activities closing code of M999.

3. Check the Activities window to verify the M999 code is present and that the child's track has closed. ***If the M999 code does not system generate, it must be manually entered.***

Resources

- Eligibility Manual for Child Welfare Programs <https://ocfs.ny.gov/main/publications/eligibility/2021->
- GIS Messages on the OCFS Intranet <http://ocfs.state.nyenet/it/GeneralResources/>
- CONNECTIONS Job Aids and Tip Sheets: <https://ocfs.ny.gov/connect/jobaides/>
- CONNECTIONS Regional Implementation Staff: <https://ocfs.ny.gov/connect/contact.asp>
- CONNECTIONS Application Help Mailbox: ocfs.sm.conn_app@ocfs.state.ny.us

(NOTE: address contains an underline)

*A Helpdesk ticket is now required before sending requests to the Triage Unit. This can be acquired by emailing **FixIt@its.ny.gov**.*

ITS Enterprise Service Desk
1-844-891-1786