



Casework activities are documented in CONNECTIONS in the Progress Notes windows of Child Protective Services (CPS) Investigation (INV) and Family Assessment Response (FAR) stages and in the Family Services Stage (FSS).

This guide contains step-by-step directions and tips on working with progress notes, including creating, searching, and printing progress notes. It is intended to help anyone who works with progress notes, including caseworkers, support staff, and supervisors.

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Accessing the Progress Notes Window

Progress Notes are recorded in INV, FAR, and FSS stages. The Progress Notes window can be accessed through the My Workload tab, a Task To-Do, or by using a Specialty Path. Your ability to access, view, and maintain Progress Notes, as well as the path you use, depends on your role in the stage and your security profile.

Access Rights

New or New Using mode:

- ✓ Any worker with a role in the stage.
- ✓ The Unit Approver or any person in the unit hierarchy of a worker with a role in the stage.
- ✓ Any worker assigned the ENTER PROG NOTES business function plus the CASE or PERSON SEARCH business function.
- ✓ A worker assigned a Progress Notes Task To-Do.

Modify mode:

- ✓ The author of a Progress Note.
- ✓ The Entered By person of a Progress Note.
- ✓ If the author has been identified as "Other," then only the Entered By person is allowed to Modify a note.
- ✓ Once a note entered by a worker on behalf of the author is modified by the author, the author becomes the new Entered By person and the worker who created the note on behalf of the author will no longer be able to modify the note.

Read-Only mode:

- ✓ Any worker with access to the stage.
- ✓ Any worker with access to the Stage Summary event for an INV, FAR, or FSS stage.

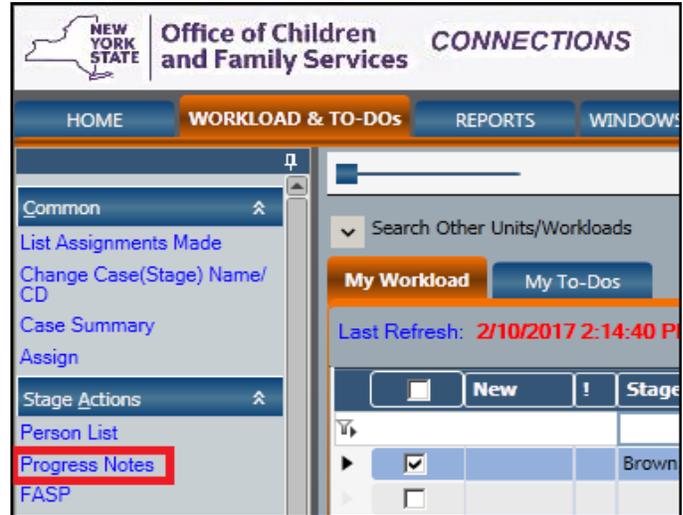


Note: *If you are a voluntary agency worker, you will not be able to view CPS Progress Notes that are coded as having a "Reporter/Source" as an Other Participant.*



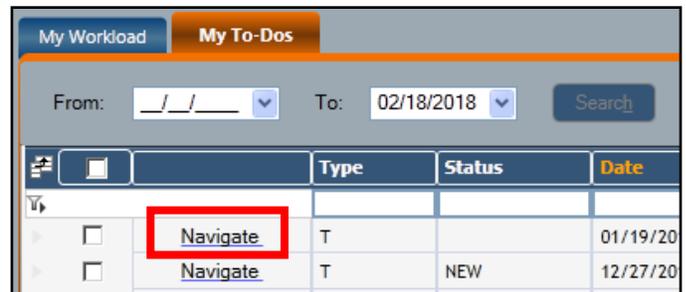
Access from the My Workload tab:

1. Highlight the desired stage on the workload.
2. Click the **Progress Notes** link in the left navigation pane.
The Progress Notes window opens.
3. Highlight an existing note in the Progress Notes List to open the Detail tab and display the content of the note.



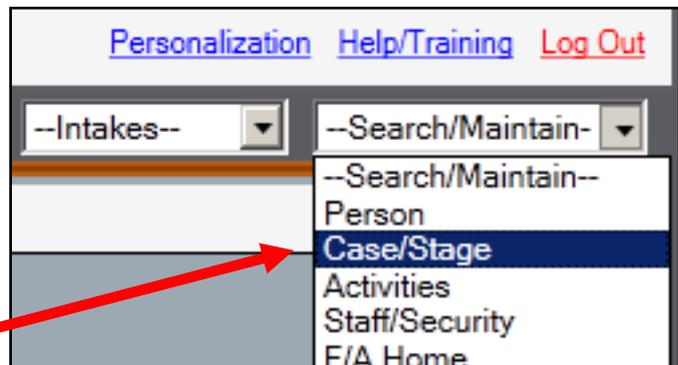
Access from a Progress Note Task To-Do:

1. On the **My To-Dos** tab, click the **Navigate** link for the **Progress Note Task (T) To-Do**.
The Progress Notes window displays.



Access using the Specialty Path (FSS only):

Clerical or other staff responsible for entering progress notes on behalf of another worker need to be assigned both the **ENTER PROG NOTE** and either **CASE SEARCH** or **PERSON SEARCH** business functions. These workers access Progress Notes using the Search/Maintain drop-down menu located in the upper-right corner.



For more information about the Specialty Path, please see the CONNECTIONS Security Tip Sheet, **Specialty Path Access**, located on the **Helpful Info** tab in CONNECTIONS.





Access using the Specialty Path (FSS only)

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1. From the **Search/Maintain** drop-down menu, select either Person or Case/Stage, depending on your assigned security or preference.

2. If searching by Case ID or Stage ID, enter the number in the appropriate field on the *Case/Stage Search* window.

If searching by person, enter the first and last name on the *Person Search* window.

Additional information, such as county or date of birth, can be entered in the Person Search window to further refine search results.

3. Click the **Search** button.

4. Select the correct result.

If searching by Case Number or Stage Number, only one result will be returned.

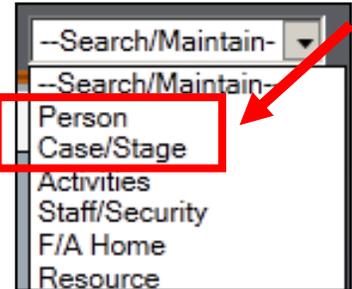
5. If searching by name, select the **Case List** tab.

6. Highlight the desired case (Status column will display "OPN").

7. Select the **Case Summary** tab from the resulting tabs.

8. Select the desired stage.

9. In the left navigation pane, click the **Progress Notes** link under the Specialty Paths section. *The Progress Notes window opens.*

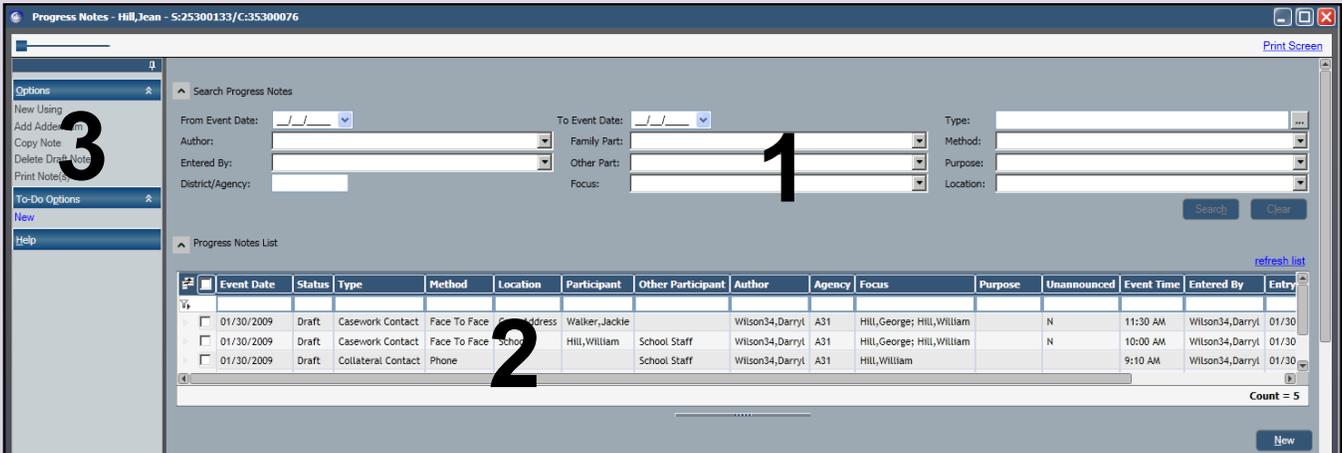


The Progress Note window will display up to 5000 notes recorded in the stage. If a stage contains a large number of notes, it may take a few seconds for the list to populate.

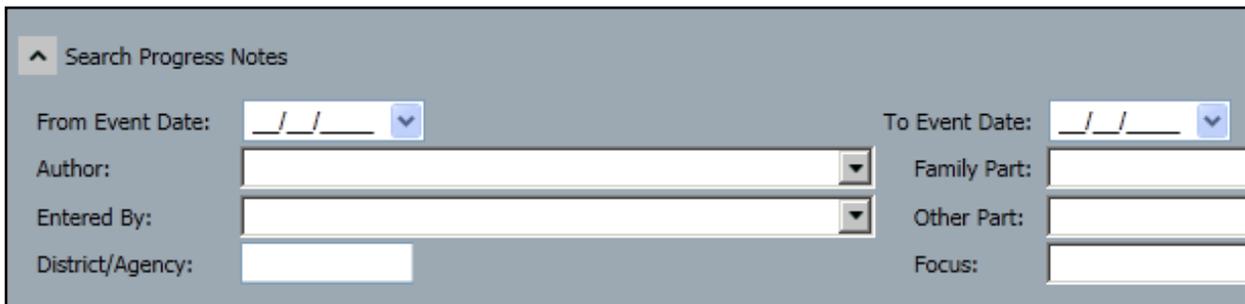


Components of the Progress Notes Window

The Progress Notes window is comprised of three sections:



The Search Progress Notes fields (1)

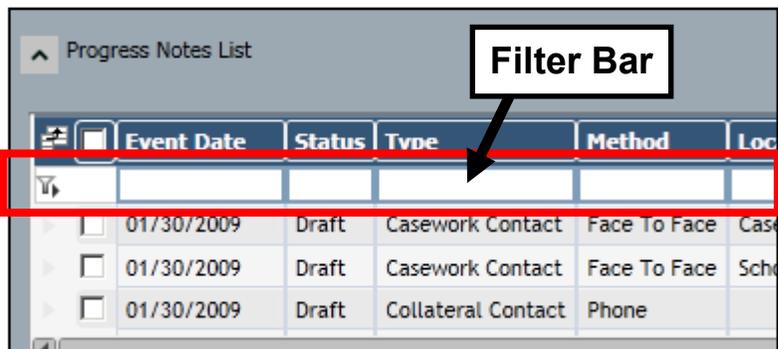


The **Search Progress Notes** fields allow the user to search existing notes by specific parameters such as Date, Author, Type, Method, Participant, or Purpose. Once the Search button is clicked, only notes matching the selected criteria will display in the Progress Notes List.

The Progress Notes List (2)

The **Progress Notes List** displays existing progress notes.

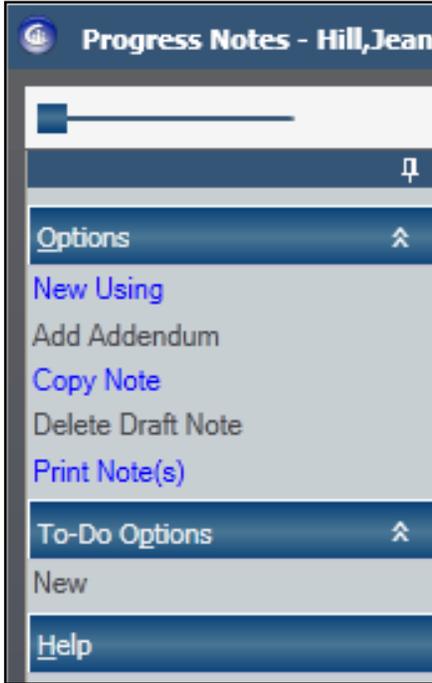
Like other grids in CONNECTIONS, the filter bar can be used to filter data and column position can be temporarily rearranged by clicking and dragging.





Components of the Progress Notes Window

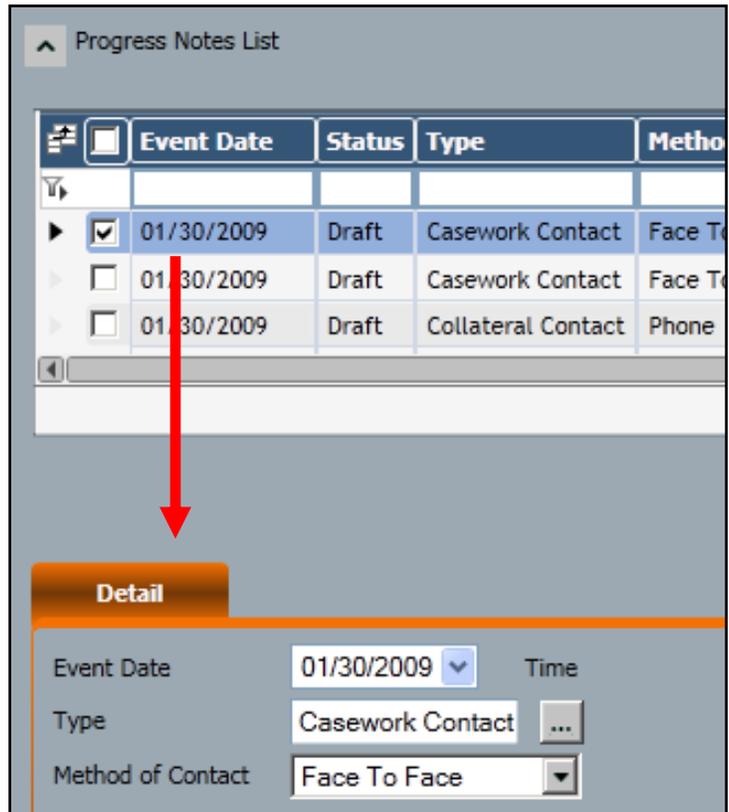
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The Navigation Pane (3)

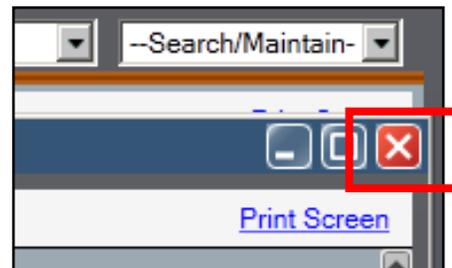
The **Navigation Pane** contains important links to other windows and functions.

Selecting a note from the Progress Notes List opens the Detail tab for that note directly below the grid.



*The Detail tab can open so quickly you may not realize you are still on the same window. To return to the Progress Note List, simply **scroll up**.*

Click the red X in the right corner only if you wish to close the Progress Notes window entirely.





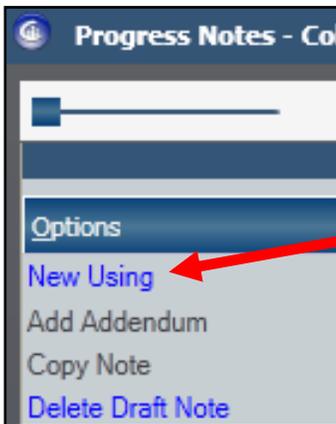
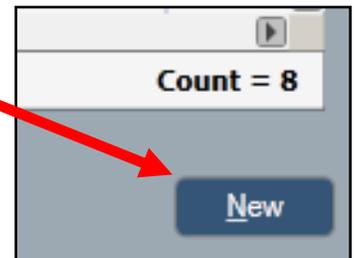
Creating a New Progress Note



Reminder: NYS Regulation 18 CRR-NY 428.5 states that “Progress notes must be made as contemporaneously as possible with the occurrence of the event or the receipt of the information which is to be recorded.”

New or New Using?

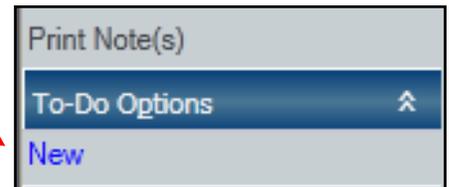
Selecting the **New** button, located to the lower right of the Progress Note List grid, will open a blank Progress Note Detail tab below the grid.



Highlighting an existing progress note and clicking the **New Using** link in the navigation pane opens the Progress Note Detail tab with the Type, Method of Contact, Location of Contact, Other Participants, and Purpose fields prefilled with the values from the selected note.

*Don't confuse the **New Using** link or **New** button shown above with the **New** link in the **To-Do Options** section.*

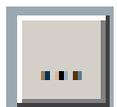
*Clicking the **To-Do Options** **New** link opens a new **To-Do Detail** window, not a new Progress Note.*



Detail	
Event Date	11/29/2017 <input type="button" value="v"/> Time
Type	Casework Contact <input type="button" value="..."/>
Method of Contact	Face To Face <input type="button" value="v"/>
<input type="checkbox"/> Unannounced Visit	
Location of Contact	Case Address <input type="button" value="v"/>
Other Participant	<input type="text"/> * <input type="button" value="..."/>
Purpose	<input type="text"/> <input type="button" value="..."/>

Required fields vary by the type of note and are indicated by the presence of a red asterisk (*).

Fields displaying the ellipsis button, such as **Type**, **Other Participant**, and **Purpose**, open a pop-up window that allows you to select more than one value.





Creating a New Progress Note

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When recording a progress note, more than one **Type** should be selected if your contact encompassed multiple types of interactions (e.g., Casework Contact, Collateral Contact, Court, Visitation).

It is important that progress notes be correctly coded so that required contacts are reported accurately!

See Appendix A - Definitions of Progress Note Types for more information.

Select type(s):	
Types	
<input type="checkbox"/>	Attempted Casework Contact
<input type="checkbox"/>	Attempted Collateral Contact
<input type="checkbox"/>	Attempted Family/Primary Discharge
<input type="checkbox"/>	Attempted Sibling Visitation
<input type="checkbox"/>	Case Conference
<input checked="" type="checkbox"/>	Casework Contact
<input checked="" type="checkbox"/>	Collateral Contact
<input checked="" type="checkbox"/>	Court
<input type="checkbox"/>	Family/Primary Discharge Resource
<input type="checkbox"/>	Other Visitation
<input type="checkbox"/>	Sibling Visitation
<input type="checkbox"/>	Summary
<input type="checkbox"/>	Supervisor/Managerial Review

- ✓ When more than one type is selected for a progress note, "Multiple" will display in the type field.

Detail	
Event Date	11/29/2017 Time
Type	Multiple
Method of Contact	Face To Face

For additional information on correctly recording Casework Contacts, see the CONNECTIONS Tip Sheet, **Progress Notes: Successfully Documenting Casework Contacts with Children in Foster Care**, located in the Services listings on the **Helpful Info** tab in CONNECTIONS



Creating a New Progress Note

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- ✓ **Any identifying information related to contacts with the source of a CPS investigation must only be entered in CPS stages.**

The Other Participant value of **Reporter/Source** exists only in CPS stages. Use of this value properly restricts access to the note by Voluntary Agency workers who have implied role access to INV stages that have been indicated or are currently under investigation.

Select Other participant(s):

Other Participant	
<input type="checkbox"/>	Other
<input type="checkbox"/>	Primary Resource Person
<input type="checkbox"/>	Probation
<input type="checkbox"/>	Relative
<input type="checkbox"/>	Reporter/Source
<input type="checkbox"/>	School Staff

- ✓ Contacts coded as visitations (Family/Primary Discharge Resource Visitation, Sibling Visitation, Other Visitation) will be brought forward into the FASP to create the Visitation Grid.

Visitation Information from Progress Notes from

Date of Visit	Type of Visit
3/21/2017	Casework Contact, Other Visitation
3/22/2017	Casework Contact, Other Visitation
3/27/2017	Casework Contact, Family/Primary Discharge Resource Visitation

- ✓ While Summary type notes do not require an Event Date, recording an Event Date allows the note to be displayed in chronological order.

Summary notes saved without an Event Date appear at the top of the Progress Note List grid regardless of the date they were entered.

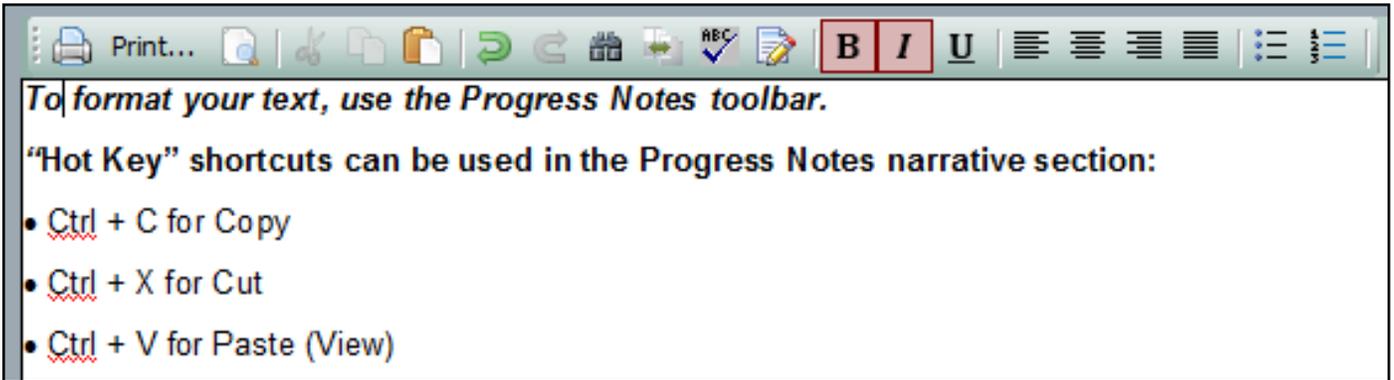
Progress Notes List

	Event Date	Status	Type
<input type="checkbox"/>		Final	Summary
<input type="checkbox"/>		Final	Summary
<input type="checkbox"/>	10/12/2017	Final	Casework Contact
<input type="checkbox"/>	10/11/2017	Final	Summary
<input type="checkbox"/>	10/09/2017	Final	Casework Contact



Creating a New Progress Note

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Copying and Pasting Text

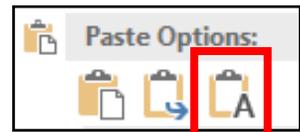


It is possible to select, copy, and paste text into a CONNECTIONS Progress Note, however, **special formatting copied from an outside document can corrupt Progress Notes in CONNECTIONS.**

Corrupted progress notes remain viewable in CONNECTIONS, but over time cannot be printed. If a selected batch of notes contains one or more corrupted notes, the entire batch will not print. **There is no fix once progress notes have been corrupted; the notes remain forever unprintable.**

It is extremely important to use only plain text when pasting information into a Progress Notes narrative. Before you paste, remove all special formatting, including letterhead, logos, tables, graphics, scanned documents, hyperlinks, and checkboxes.

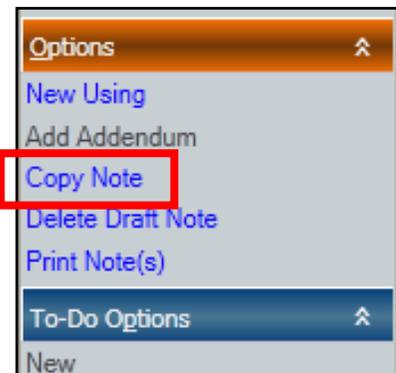
When pasting from Word, use the Text Only paste option to automatically remove formatting.



Copying Progress Notes

The Copy Note function provides a way to copy progress notes between certain stages in the same case (i.e., stages having the same Case ID).

Selecting an existing note enables the **Copy Note** link in the left navigation pane.





Copying Progress Notes

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The copying of progress notes can only be done between certain types of stages. The following chart shows which stages notes can be copied to and from:

Copying is Permitted		Copying is <u>NOT</u> Permitted	
From:	To:	From:	To:
INV	INV	INV	FSS
INV	FAR	FAR	FSS
FAR	FAR	FAR	INV
FSS	INV		
FSS	FAR		

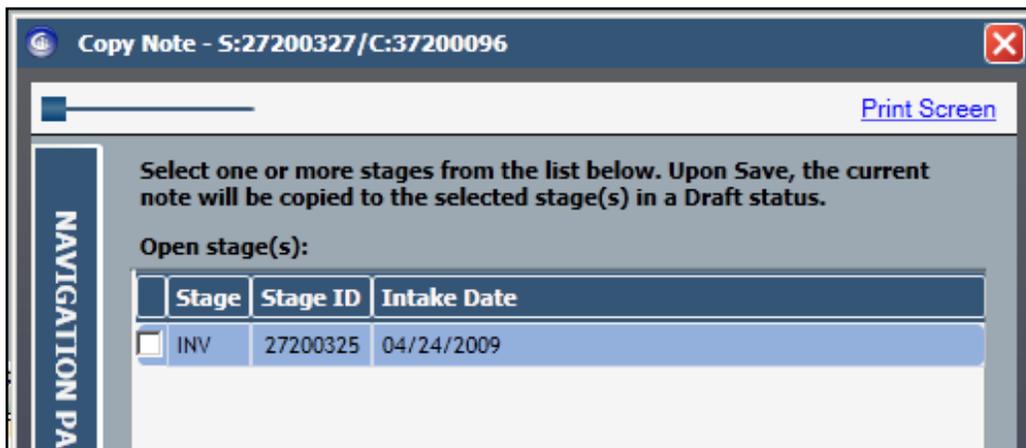
Additional Rules for Copying Notes:

- ✓ Progress Notes can only be copied into other open stages within the same District or Agency as the note selected for copy.
- ✓ Progress Notes can be copied from a closed stage into other open stages within the same case if all other rules are met.
- ✓ Only the original note’s Author and/or Entered By worker can copy a note - and they must have a role in the destination stage or be in the unit hierarchy of a worker who does.
- ✓ The Participant(s) and Focus(es) of the original note must also be part of the destination stage.
- ✓ If copying into an INV stage, the Investigation Conclusion cannot be in Pend status.
- ✓ The Event Date of the note to be copied cannot be earlier than the Start Date of the destination stage.
- ✓ The Entry Date of a note copied from another stage will be the date the note was copied.
- ✓ Notes in either Draft or Final status can be copied.
- ✓ Notes copied from another stage are automatically saved as “Draft” and will age into Final status 20 calendar days from the date they were copied.
- ✓ Notes can be copied between one Child Case Record (CCR) stage and another if they were created from the same FSS-CWS stage.
- ✓ Once copied, progress notes do not retain any connection to one another; modifying one will have no effect on the other.



Copy Note Function, Step-by-Step

- 1 On the *Progress Notes* window, select the note you wish to copy.
- 2 Click the **Copy Note** link in the navigation pane.
The Copy Note window displays with a list of available stages.
- 3 Select the checkbox of the stage(s) to which you wish to copy the note.



- 4 Click the Save or Save & Close button
- 5 Click the OK button in the "Progress Note has been copied" pop-up message.

Saving a Progress Note

Save as Final Save as Draft Save and Enter New Note

Once all required fields and a narrative have been entered, notes may be saved by choosing the **Save as Final**, **Save as Draft**, or **Save and Enter New Note** button.

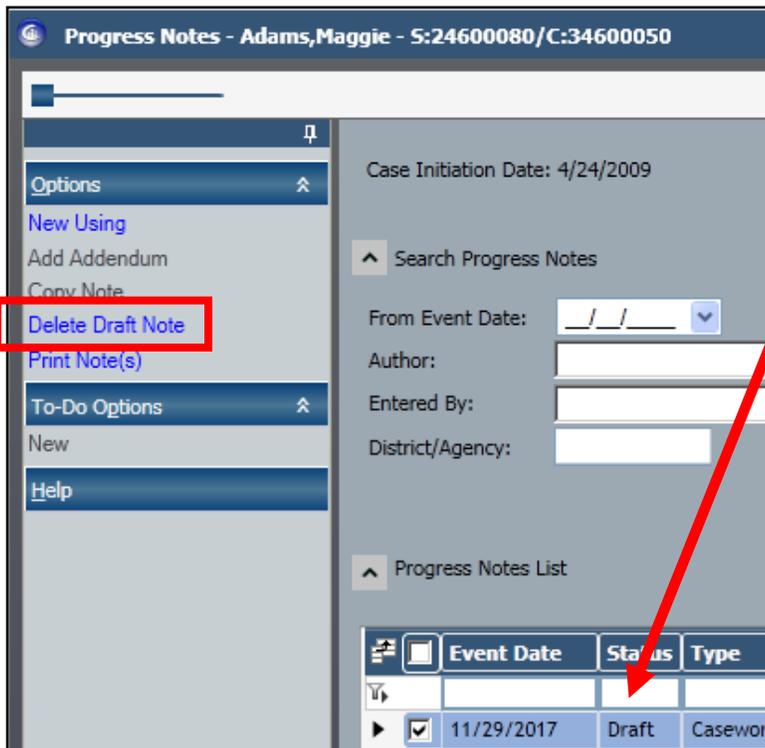
- **Save as Final** freezes the content of the note upon saving. *Notes saved as final cannot be edited or deleted.* An Addendum, however, may be added to a note in final status.
- Notes saved as **Draft** remain modifiable for 20 calendar days from the date of the first save. They may be edited or deleted during this time by either the person who authored or entered them.
- **Save and Enter New Note** saves the note as draft and immediately opens a blank note so another progress note can be entered in the same stage. This feature is helpful when entering several successive notes.



Deleting a Draft Progress Note

Progress notes saved as Draft remain modifiable for 20 calendar days from the date of having first been saved. During this timeframe, notes may be deleted by the Author or Entered By worker.

Deleting a Draft Progress Note, Step-by-Step



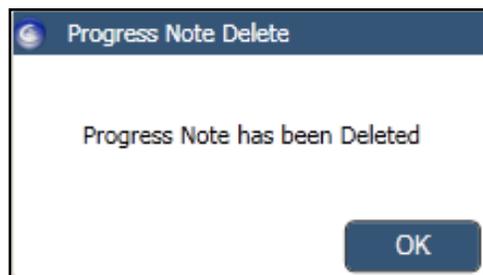
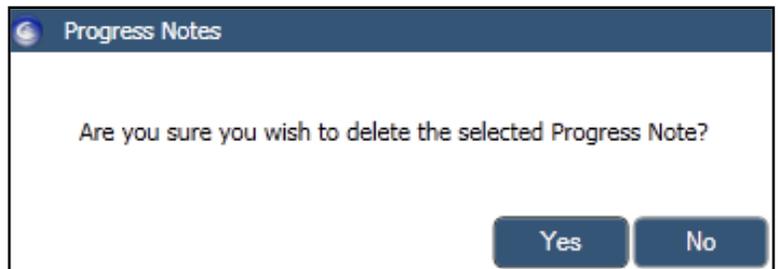
1. From the Progress Note window, select the note to be deleted.

The Delete Draft Note link in the navigation pane enables.

2. Click the **Delete Draft Note** link.

A pop-up message opens asking if you are sure you wish to delete the selected note.

3. Click the **Yes** button.



4. Click the **OK** button to acknowledge the note has been deleted.

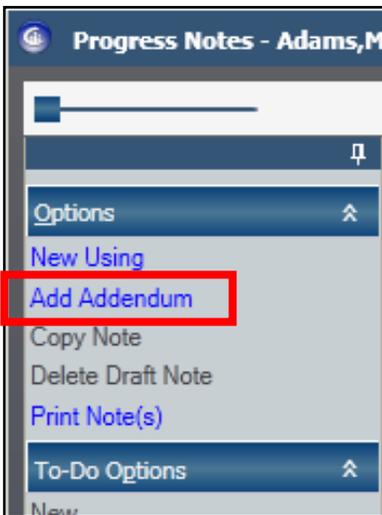


Adding an Addendum

Progress notes in Final status cannot be edited. An addendum, however, can be added. An addendum does not change the original content of the note, but allows a worker to add additional information that is stamped with the time, date, and the name of the worker.

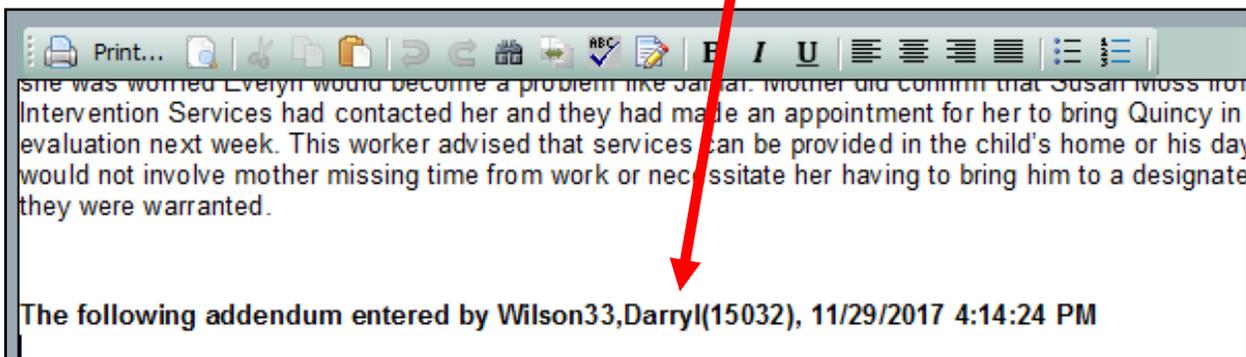
Adding an Addendum, Step-by-Step

Only the person who entered or authored the original note can add an addendum.



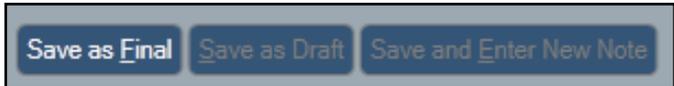
1. From the Progress Note window, select a note in Final status to which the addendum will be added.
The Add Addendum link in the navigation pane enables.

2. Click the **Add Addendum** link.
The progress note opens with the addendum time, date, and worker stamped.



3. Record the additional information.

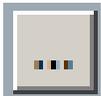
4. Click the **Save as Final** button.
Save as Final is the only option when saving an addendum.





Searching Progress Notes

The fields at the top of the Progress Notes window are the criteria by which you may conduct a search. You may select one, several, or all of the fields to narrow your search for specific notes.



Fields displaying the ellipsis button allow you to select more than one value.

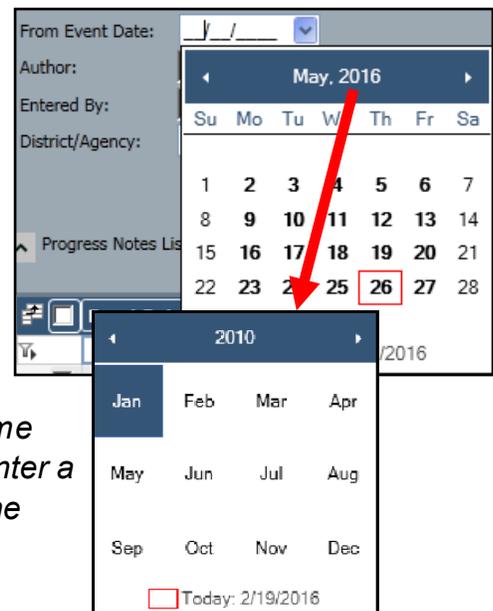
Search criteria fields include the following:

- Date Range**

To search for notes that fall between specific dates, enter the dates in the **From Event Date** and **To Event Date** fields or use the drop-down calendars to choose the start and end dates of the search.

Clicking on the month or year in the header of the calendar allows you to quickly select past months or years without scrolling back one month at a time

Hint: To search for a specific event date, use the same date in both fields. To search on an open-ended date, enter a date in only one of the date fields and leave the other one blank.



- Author**

To search by author, click on the **Author** field arrow. The drop-down list displays all the persons who have authored a progress note in the stage, including workers who once had a role but no longer do.

- Entered by**

To search by entered by, click on the **Entered By** field arrow. The drop-down list displays all the workers who have entered a progress note of their own or on behalf of someone else.

- District/Agency**

To search by District or by Agency, enter the three digit District or Agency code in the **District/Agency** field. Use your own Agency code to search for notes written by workers from your own agency.



Searching Progress Notes

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- **Family Participant**

To search by family participant, click on the down arrow in the **Family Part** field. The drop-down list displays all persons listed in the Person List for the stage.

- **Other Participant**

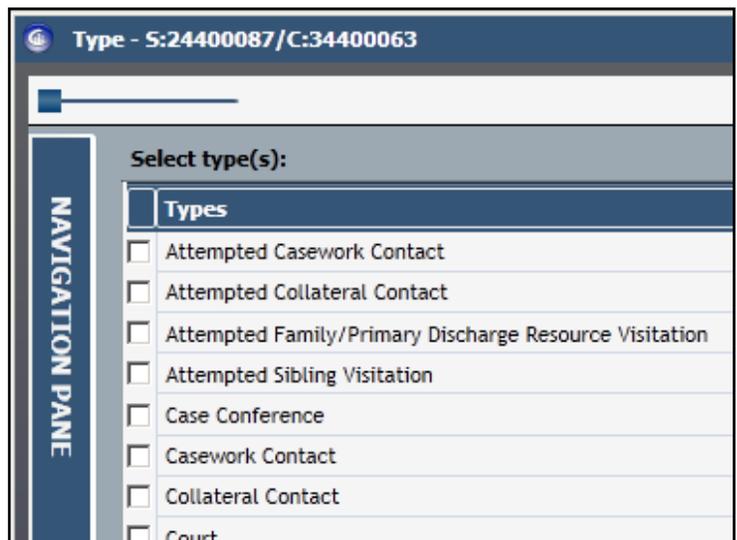
To search by other participant, click on the **Other Part** field arrow. This field is used to search for specific notes based on a category (not the name) of other participants selected (e.g., School Staff, Medical, Probation).

- **Focus**

To search by the person who was recorded as the focus of a progress note, click on the **Focus** field arrow. All members of the Person List appear in the drop-down list.

- **Type**

To search by type of contact, click on the **Type** field ellipsis button. The pop-up list displays all the types of contacts available. Select the check box(es) for the desired value(s). If a contact was recorded with more than one type, it will return on a search for any of the selected types.



- **Method**

To search by method of contact, click on the **Method** field arrow. The drop-down list displays all the methods of contact available.

- **Purpose**

To search by purpose, click on the **Purpose** field arrow. The drop-down list displays all the purposes available. Since this is an optional field, results will only be returned if this information was recorded when a note was created.

- **Location**

To search by the location of the contact, click on the **Location** field arrow. The drop-down list displays all the locations available.

Once a search has been completed, clicking the **refresh list** link removes all search criteria and refreshes the list so that all progress notes once again display.





Sorting and Filtering Progress Notes

Sorting and filtering progress notes allows workers, supervisors, and other reviewers to quickly locate a specific note or type of note. This can be useful when a subset of notes such as those written during a particular date range, involving a particular participant, or entered by workers at a single agency, is desired.

Sorting Progress Notes

By default, progress notes display in reverse chronological order (the most recent note on top). However, like data in other grids in CONNECTIONS, the progress notes grid can be sorted or filtered to display a subset of notes.

To sort, click on a column header. Click a second time to reverse the default sort.

<input type="checkbox"/>	Event Date: ▲
<input type="checkbox"/>	01/04/2012
<input type="checkbox"/>	01/11/2012
<input type="checkbox"/>	01/14/2012
<input type="checkbox"/>	02/17/2012

Event Date Ascending

<input type="checkbox"/>	Event Date: ▼
<input type="checkbox"/>	02/17/2012
<input type="checkbox"/>	01/14/2012
<input type="checkbox"/>	01/11/2012
<input type="checkbox"/>	01/04/2012

Event Date Descending

Filtering Progress Notes

Filtering progress notes displays only those notes which fit a selected criteria. The filter bar allows you to filter in any column of the Progress Notes List grid.

To filter, enter the first few letters of the word you wish to filter by in the white filter bar below the header of any column.

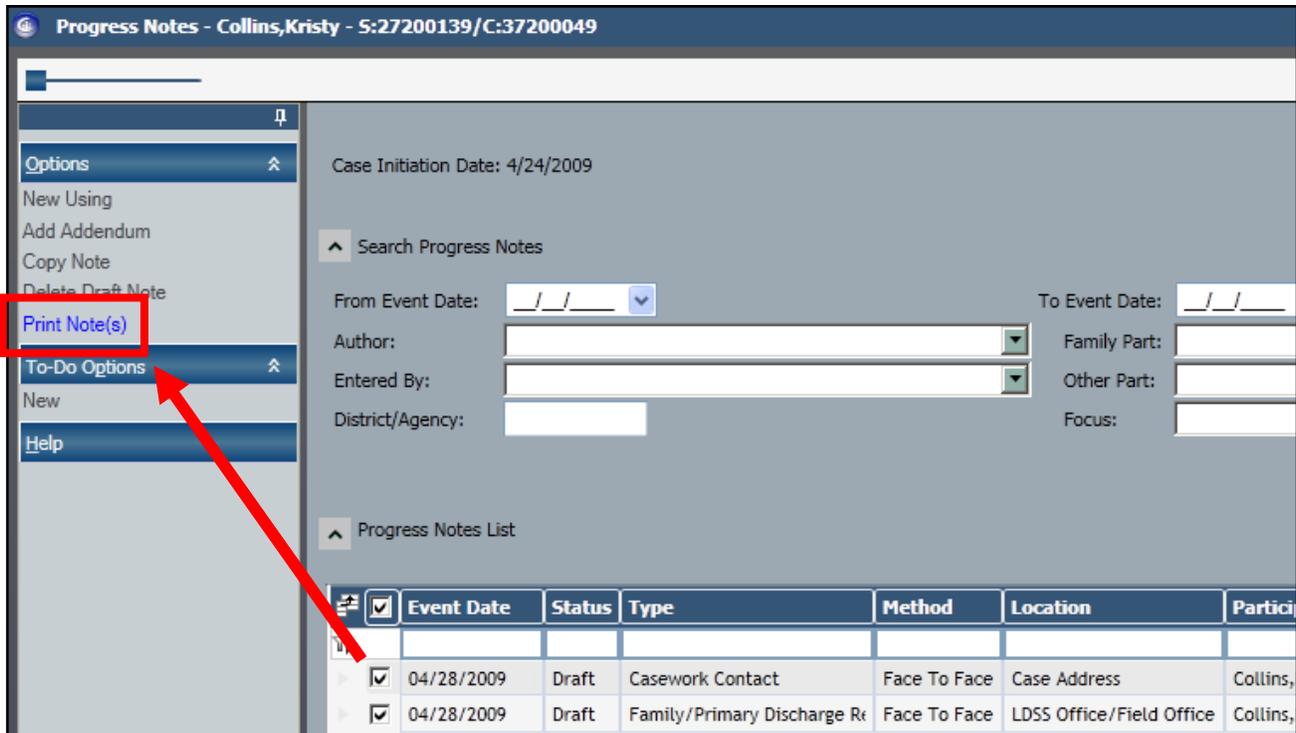
Only results matching your filter criteria will display.

Progress Notes List				
<input type="checkbox"/>	Event Date	Status	Type	Me
<input type="checkbox"/>			cas	
<input type="checkbox"/>	04/27/2009	Final	Casework Contact	Phc
<input type="checkbox"/>	04/27/2009	Final	Casework Contact	Phc
<input type="checkbox"/>	04/27/2009	Final	Casework Contact	Phc

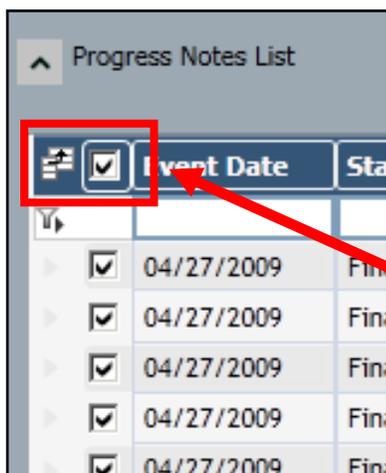


Previewing and Printing Progress Notes

Progress notes are printed by selecting the note(s) you wish to print and clicking the **Print Note(s)** link in the navigation pane. This does not print, but creates a Print Preview of the selected notes.



Generating a Print Preview is also the most efficient way to read a quantity of notes without having to click in and out of individual progress notes. Progress notes are presented in chronological order by Event Date, oldest to newest.



Creating a Print Preview, Step-by-Step:

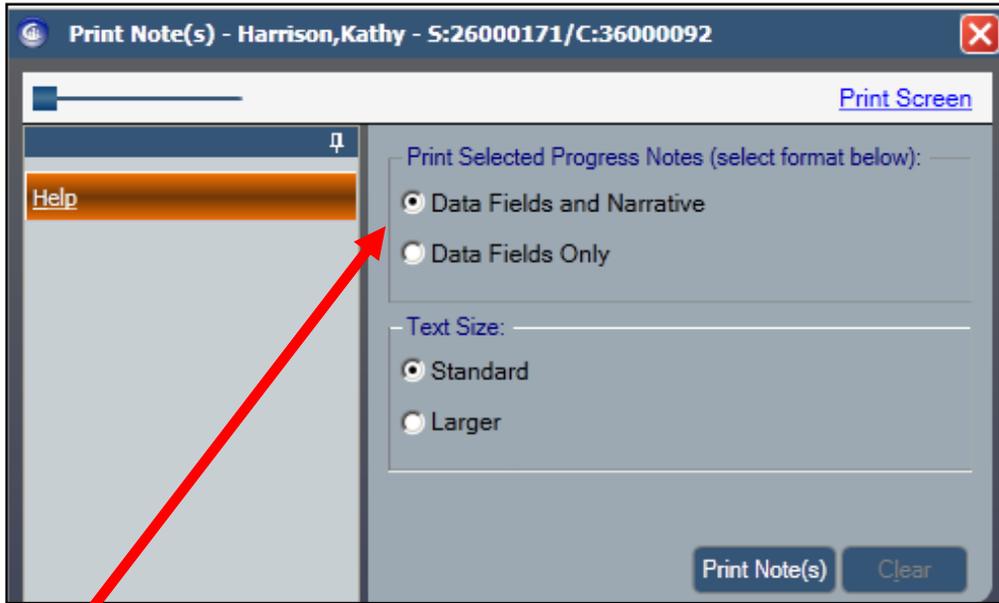
1. Identify the notes you wish to print by searching, sorting, and/or filtering.
2. Check the checkbox(es) next to the selected note(s).
To select all, check the checkbox in the column header.
3. Click the **Print Note(s)** link in the left navigation pane.

This action does not print the notes. It will open the Print Notes window.



Previewing and Printing Progress Notes

(Continued from previous page)



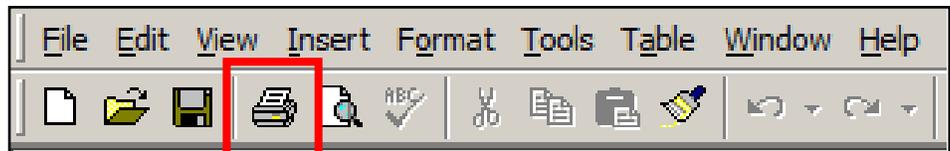
4. Select **Data Fields and Narrative** or **Data Fields Only**.

Data Fields Only displays as a grid of contacts without the narrative content of the progress notes.

5. Select desired Text size.
6. Click the **Print Note(s)** button to generate a print preview of the selected notes.

Event Date	Note Status	Type(s)	Method	Location
10/16/2017	Final	Casework Contact	Face To Face	Case Address
10/17/2017	Final	Case Conference	Face To Face	
10/20/2017	Final	Other Casework Activity		

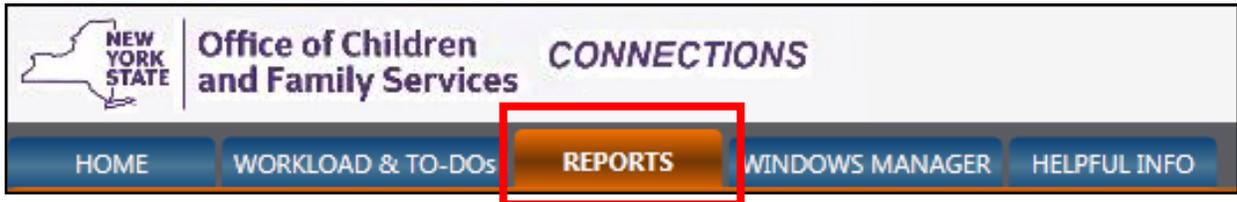
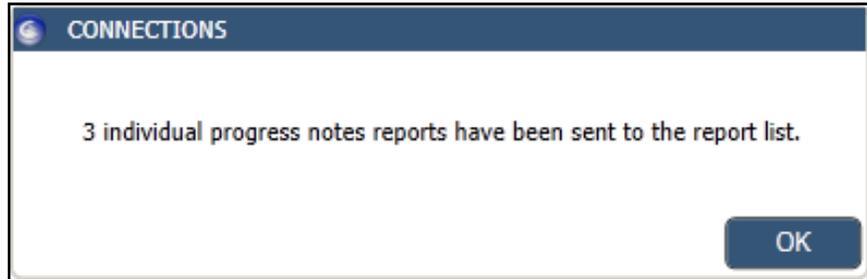
7. To print the notes, use the print options on the toolbar of the Print Preview window.





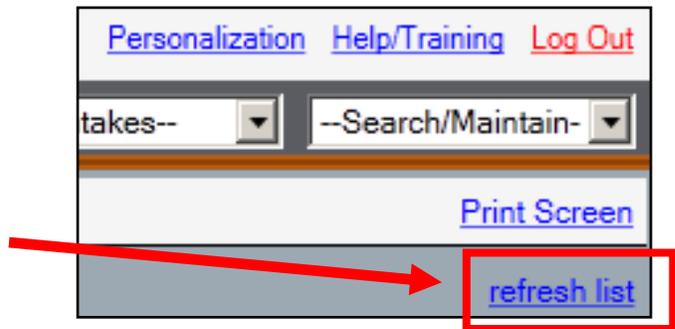
Printing Large Batches of Progress Notes

If more than 200 notes have been selected, a pop-up message directs you to the **Reports** window where your notes will display in one or more reports.



When a large number of progress notes have been selected, you may need to wait for the reports to fully load in the Reports window.

Click on the **refresh list** link in the upper right corner of the Reports window to change the status from Pend (pending) to Done. You may need to click the link more than once.



Status	Report Name
Pend	FSS Progress Notes
Pend	FSS Progress Notes

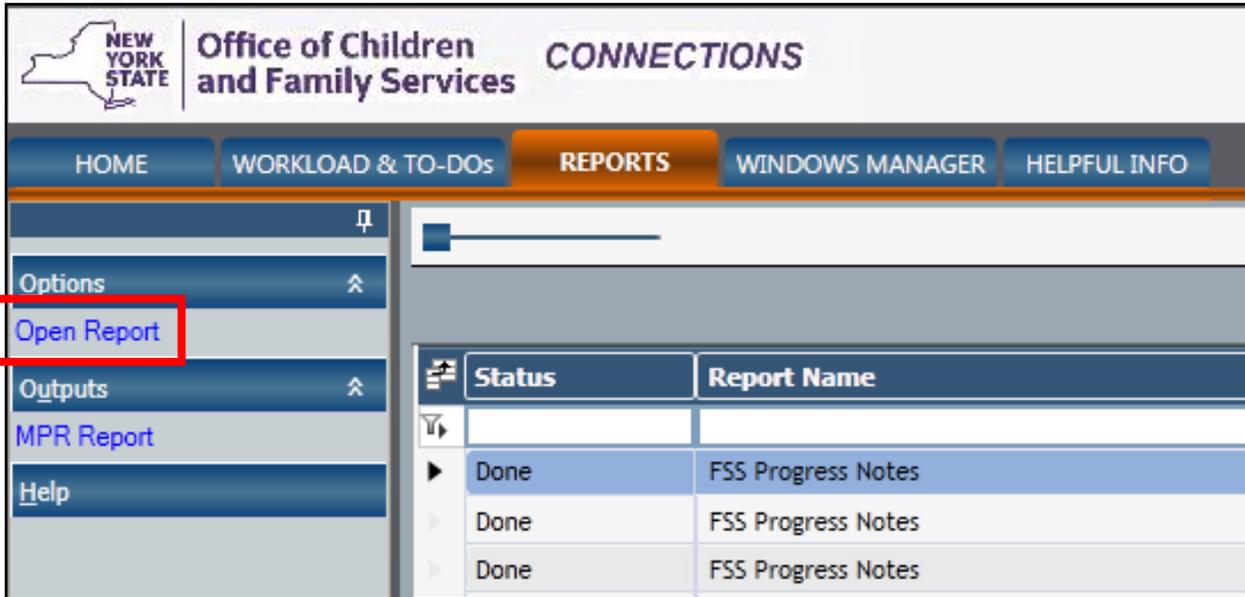
Status	Report Name
Done	FSS Progress Notes
Done	FSS Progress Notes



Printing Large Batches of Progress Notes

(Continued from previous page)

Once the report status displays as Done, highlight the report and click the **Open Report** link in the left navigation pane.

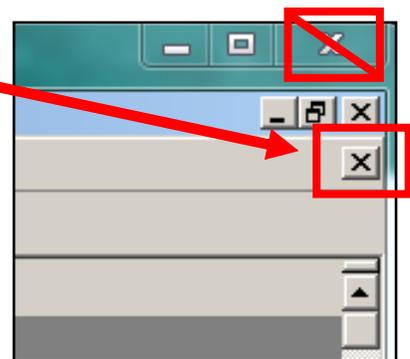


Print the notes by using the print options on the toolbar of the open report.

Close the report window by clicking the lowest **X button** in the upper right.

Closing the report will delete it from the Reports window.

Do not click the topmost X button, as this will close your CONNECTIONS session.



Gen Date	Purge Date
11/29/2017 01:30 PM	11/30/2017

Unread Progress Note reports are automatically purged by the system one day after they are generated.



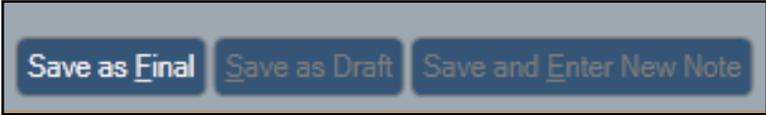
Adding a Progress Note to a Closed FSS

Local District workers from the same district as the Historical Case Manager may add a progress note to a closed FSS using the Progress Note Specialty path. This applies to all FSS types (CWS, OTI, COI, ICPC, ADVPO and CCR).

To use this path, the worker must be assigned the Enter Progress Note (ENTER PROG NOTE) and Case/Person Search (CASE/PERS SRCH) business functions. To enter a note in a closed FSS-CCR stage that has been finalized for adoption, the user must also be assigned the Access Sealed Adoption (ACC SEALED ADOP) BF.

When adding notes to a closed FSS:

- The event date may NOT precede the stage closing date.
- All notes are new notes; an addendum cannot be added to a previously recorded note.
- New notes can only be saved as FINAL; other options are not enabled.



Save as Final Save as Draft Save and Enter New Note

For Step-by-Step instructions, see pages 3 - 4 of this guide on Specialty Path navigation.



Appendix A - Definitions of Progress Note Types

Attempted Casework Contact	Select when a contact was initiated, but unsuccessful, i.e., client was unavailable at the attempted time.
Attempted Family Visitation	Select when a visit was planned between a child placed in foster care or with relatives and his or her family members, but was unsuccessful, i.e., family member did not appear at the arranged date/time.
Attempted Sibling Visitation	Select when a visit was planned between a child placed in foster care or with relatives and his or her sibling(s), but was unsuccessful, i.e., sibling (s) were ill.
Case Conference	Select for service plan reviews and any other meetings involving case members, district/ agency staff, and/or service providers.
Casework Contact	Select for a contact made with a member of the case. If method is 'face-to-face' then either a 'participant' or 'other participant' is required.
Collateral Contact	Select for a contact with a non-case member.
Court	Select to record narrative concerning court-related activities or events.
Family/Primary Discharge Resource Visitation	Select when recording information regarding a visit made between a foster child and one or more family members, regardless of whether caseworker was present. At least two 'participants' must be selected, or one 'participant' and an 'other participant' of 'relative'.



Appendix A - Definitions of Progress Note Types

(Continued from previous page)

Sibling Visitation	Select when recording information regarding a visit made between siblings, when at least one sibling is placed in foster care or with relatives and others live at home or in a different foster care facility, regardless of whether caseworker was present.
Other Visitation	Select when recording information regarding any other type of visit that does not fall into the Types noted above, regardless of whether caseworker was present.
Summary	Select when a series of contacts is being recorded in summary fashion across a date range for a specific purpose, such as a report to the court or other agency; note no other types may be selected when choosing 'summary'.
Supervisor/Managerial Review	This selection is provided for a supervisor or manager to record that a review of a specified group of progress notes has occurred.
Notice/Approval	This selection is provided for districts with higher level of edits.



Appendix B - NYS Progress Note Regulations

**OFFICIAL COMPILATION OF CODES, RULES, AND REGULATIONS OF THE STATE OF NEW YORK
TITLE 18. DEPARTMENT OF SOCIAL SERVICES
CHAPTER II. REGULATIONS OF THE DEPARTMENT OF SOCIAL SERVICES
SUBCHAPTER C. SOCIAL SERVICES
ARTICLE 2. FAMILY AND CHILDREN'S SERVICES
PART 428. STANDARDS FOR UNIFORM CASE RECORDS AND FAMILY AND CHILD ASSESSMENTS
AND SERVICE PLANS**

18 CRR-NY 428.5

428.5 Progress notes (record of service provision)

- (a) Progress notes must begin on the case initiation date as defined in section 428.2(a) of this Part or upon receipt of a report of suspected abuse or maltreatment for child protective service cases, and must continue until the case is closed to all services. Progress notes must be made as contemporaneously as possible with the occurrence of the event or the receipt of the information which is to be recorded.
- (b) Each progress note entry must include the date of the entry, the date of the event, and the name or initials of the author and person making the entry.
- (c) Progress notes must include, but are not limited to:
 - (1) descriptions of contacts with children and parent(s) receiving services, including missed or cancelled appointments, and the reasons therefor;
 - (2) actions taken in the investigation or family assessment response for a reported case of child abuse or maltreatment, including emergency and/or controlling interventions taken, and descriptions of collateral contacts and other activities relating to the collecting of information needed to formulate an assessment and/or assist with making a determination regarding the report of abuse or maltreatment, and descriptions of family and collateral contacts and other activities relating to the provision of a family assessment response; provided, however, the name or other information identifying the reporter and/or the source of a report of suspected child abuse or maltreatment, as well as the agency, institution, organization, and/or program with which such person(s) is associated, must be recorded in the manner specified by OCFS;
 - (3) efforts made to engage the family members in the development of the service plan or the completion of a family led assessment guide, their level or degree of participation in the process and the family and children's reactions to services;
 - (4) referrals and communications with other service providers involved in the case, and information received from specialized rehabilitative and supportive service providers concerning casework contact activities with a child and/or family receiving preventive and/or protective services;
 - (5) referrals and communications with the local probation department regarding a child in the case;
 - (6) description of contacts with educational/vocational personnel on behalf of the child, including, but not limited to, contacts made with school personnel in accordance with sections 430.11(c)(1)(i) and 430.12(c)(4) of this Title;
 - (7) court hearings or other legal activities;



Appendix B - NYS Progress Note Regulations

(Continued from previous page)

- (8) significant events such as births, marriages, and divorces;
- (9) documentation of caseworker/supervisor conferences, including a description of the nature of the discussions and any required follow-up activities; and
- (10) for children not residing with a parent who are in foster care or an alternative placement setting, progress notes, as applicable, must also include:
 - (i) casework contacts with child's parent(s), guardian, and/or relatives, the child and the child's day-to-day caretaker(s) including casework contacts required in accordance with section 441.21 of this Title;
 - (ii) descriptions of activities related to medical and dental examinations required on a regularly scheduled basis, including the initial medical examination, and any significant results, diagnosis, referrals and prescribed medications arising from such medical and dental examinations in accordance with section 441.22 of this Title;
 - (iii) descriptions of parental and/or guardian visits with a child, and any missed visits and the reasons therefor;
 - (iv) descriptions of other visits with the child, including but not limited to visits with siblings and/or half-siblings not placed with the child, potential permanency resources and any other persons of significance to the child;
 - (v) chronological documentation of diligent efforts, as required under section 430.12 of this Title, by an authorized agency to assist, develop and encourage a meaningful relationship between the parent(s) or the guardian and the child;
 - (vi) efforts by parent(s) or guardian to provide an adequate home and provide parental care for the child, or when it is determined that permanency for a child cannot be achieved within the child's own family, discussions between the parent(s) and the authorized agency regarding the pursuit of adoption or another permanency planning goal for the child;
 - (vii) documentation that the parent(s) or guardian were advised of the possible consequences if a child remains in foster care for 15 of the most recent 22 months, and of discussions with the parent(s) or guardian regarding the possible deleterious effects of foster care on the child and the child's need for permanency;
 - (viii) any information acquired about an absent or non-respondent parent that is in addition to information recorded pursuant to section 428.4(c)(1) of this Part, the results of an investigation into the location of any relatives, including grandparents of a child subject to article 10 of the Family Court Act or section 384-a of the Social Services Law, and the efforts to identify and provide notification to grandparents and other adult relatives in accordance with the requirements of section 430.11(c)(4) of this Title;
 - (ix) a description of the reasonable efforts made to finalize the child's permanency plan, including, but not limited to, where the permanency goal is other than the return of the child to the parent, identification of in-State and out-of-state placement options; and
 - (x) documentation of the case consultation(s) held for each child subject to the provisions of article 10-A of the Family Court Act and section 428.9 of this Part in preparation for each



Appendix B - NYS Progress Note Regulations

(Continued from previous page)

- permanency hearing;
- (11) for children in foster care with certified or approved foster parent(s):
- (i) documentation that the foster parent(s) have been informed of the visiting plan for the child's parent(s), guardian(s), siblings or half-siblings, or others for whom a visiting plan with the child exists;
 - (ii) documentation that the foster parent(s) or prospective foster parent(s) have been asked whether they will accept a sibling group, if appropriate;
 - (iii) documentation that the foster parent(s) have been provided with information on the existence and location of all siblings or half-siblings of any child placed with them;
 - (iv) documentation that the foster parent(s) have been apprised of any special needs that the foster child has and the available supports and services to address the special needs; and
 - (v) documentation that the foster parent(s) have been informed that diligent efforts will be made to facilitate regular biweekly visitation or communication between minor siblings or half-siblings who have been placed apart, unless such contact would be contrary to the health, safety or welfare of one or more of the children or unless the lack of geographic proximity precludes visitation;
- (12) for children in foster care placed with relative foster parent(s) whose permanency plan is placement with such relative(s) and receipt of kinship guardianship assistance payments:
- (i) the steps taken to determine that it is not appropriate for the child to return home or be adopted;
 - (ii) the reasons for any separation of siblings during placement;
 - (iii) the reasons why a permanent placement with a fit and willing relative through a kinship guardianship assistance arrangement is in the child's best interests, including the compelling reasons for determining that the return home of the child and the adoption of the child are not in the best interests of the child and are not appropriate permanency goals;
 - (iv) the ways in which the child meets the eligibility requirements for a kinship guardianship assistance payment;
 - (v) the efforts made to discuss adoption by the child's relative foster parent as a more permanent alternative to legal guardianship and, in the case of a relative foster parent who has chosen not to pursue adoption, documentation of the reasons therefore;
 - (vi) the efforts made to discuss with the child's parent or parents the kinship guardianship assistance arrangement, or the reasons why the efforts were not made; and
 - (vii) the steps taken to hold age appropriate consultation with the child regarding the kinship guardianship arrangement, including the consultation conducted with a child who is 14 years of age or older and the steps taken to secure the consent of a child who is 18 years of age or older to the kinship guardianship arrangement.
- (13) for children in foster care with a permanency planning goal of another planned living arrangement with a permanency resource:
- (i) the intensive, ongoing and unsuccessful efforts to return the child home or to secure a



Appendix B - NYS Progress Note Regulations

(Continued from previous page)

placement for the child with a fit and willing relative, including adult siblings, a legal guardian or legal custodian, or an adoptive parent, including efforts made that utilize technology, including social media, to locate family members of the child;

- (ii) the child's foster home or child care facility in which the child is placed is following the reasonable and prudent parent standard set forth in section 441.25 of this Title; and
- (iii) the child has regular, ongoing opportunities to engage in age or developmentally appropriate activities, including by consulting with the child in an age-appropriate manner about the opportunities to participate in such activities.

(d) Progress notes need not include clinical notes, daily logs or other written material created by service providers who act in roles other than caseworker, child protective services monitor, case planner or case manager.

18 CRR-NY 428.5

Current through October 15, 2017

Additional NYS Rules and Regulations can be found at:

<https://govt.westlaw.com/nycrr>