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CONNECTIONS

Supervisory Functions System Build 18 Job Aid



**CONNECTIONS Training Project
SUNY Training Strategies Group**

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This Job Aid is available online:

- In the Public Folders:
 All Public Folders > Statewide > CONNECTIONS > Build 18
- On the CONNECTIONS Intranet site:
 DFA Intranet Site > OCFS Home page > CONNECTIONS > Desk and Job Aids

The *CONNECTIONS Case Management Step-by-Step Guide* provides detailed information and step-by-step instructions for Build 18 system functionality. This Step-by-Step Guide is available on CD and is distributed at the *CONNECTIONS Case Management for Child Welfare Workers* and *CONNECTIONS Case Management for CPS Workers* trainings.

The OCFS CONNECTIONS intranet site also contains information about trainings offered to support you in your work with CONNECTIONS.

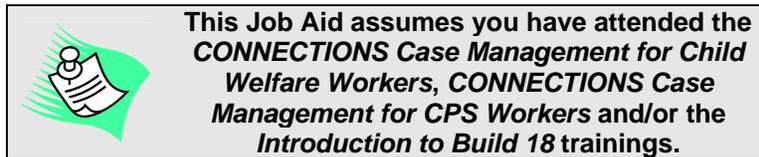


Introduction

This Job Aid provides supervisors with the necessary information they need to use CONNECTIONS system Build 18 functionality effectively as part of their supervisory responsibilities. This is intended for supervisors and provides an overview of worker roles in order for supervisors to understand what their workers are responsible for and what they must monitor based on their worker's assigned role(s).

Specifically, this Job Aid contains information about:

- assigned roles;
- the *Unit Summary* window;
- Staff and Case To-Do's;
- Family Services Intake;
- the Family Assessment and Service Plan review and approval process;
- Progress Notes; and
- generating reports.



Assigned Roles

A worker's access to a stage in CONNECTIONS is the result of a combination of factors: the worker's role in the stage, the worker's role in the unit, and access permissions given to the worker.

In CONNECTIONS, there can be only one open FSS for a family per jurisdiction (Local District). Multiple workers, including one or more workers from Local Districts or Voluntary Agencies, may be assigned to this stage. Workers can be assigned the following roles in CONNECTIONS: Case Manager, Case Planner, Caseworker and/or CPS Worker/Monitor. These roles determine what workers can access and record (i.e., View vs. Maintain) in various system components.



For ACS:

The Child Planner role is identified as Case Worker in CONNECTIONS.

- | | |
|---------------------|---|
| Case Manager | Every FSS has a Case Manager, who must be a Local District worker. An FSS can have only one Case Manager at any given time. The Case Manager provides oversight of the case and approves the Family Assessment and Service Plan (FASP). If no Case Planner is assigned, the Case Manager acts as the Case Planner; in this circumstance, the Case Manager's supervisor must approve the FASP. |
| Case Planner | <p>The FSS may have a Case Planner, who may be either a Local District or Voluntary Agency staff person. An FSS can have only one Case Planner at any given time. The Case Planner is responsible for coordinating work with the family, as well as completing and submitting the FASP in a timely fashion; this includes reviewing the work of all other workers who have contributed to the FASP and accepting or revising that information accordingly.</p> <p>When the Case Planner submits the FASP, it is automatically sent to his/her system designated Unit Approver and to the Case Manager for approval. The Case Planner can alert the CPS Worker/Monitor in circumstances where that individual needs to complete or review the FASP.</p> |
| Caseworker | One or more Caseworkers (who can be either Local District or Voluntary Agency staff) may be assigned to an FSS. Caseworkers who are assigned to an FSS complete work within the FASP, such as the Family Scales. A Caseworker may be responsible for a specific child, multiple children or no children in the FSS. A Caseworker can also be <i>Associated</i> to a specific child or children. If a Caseworker is responsible for a child, s/he should be <i>Associated</i> to that specific child; otherwise s/he cannot complete the Child Scales and Foster Care Issues component for that child. Associating a Caseworker to a specific child does not prevent other workers from working with that child or completing other parts of the FASP that may relate to that child in the overall Service Plan. |

**CPS Worker/
Monitor**

The CPS Worker/Monitor is responsible for overseeing case activities when:

- the case was opened from an Indicated CPS Investigation stage; *and*
- the CPS worker is not the primary service provider for the case; *and*
- ongoing protective concerns have been identified.

These activities include reviewing safety-related and risk-reduction actions and activities, determining that appropriate services are being provided, and modifying the service plan when the child's or family's progress is not sufficient to meet the desired outcomes identified in the plan. The CPS Worker/Monitor can also complete the Safety Assessment and Risk Assessment Profile in the FASP.

For ACS:

The CPS Worker/Monitor role will not be assigned by ACS. The Case Manager will assume the responsibilities of the CPS Worker/Monitor, which continues to be required by regulation. This applies when:

- the case was opened from an Indicated CPS Investigation;
AND
- the CPS worker is not identified as the *system* Case Manager (incorporating the Case Planner role) or the *system* Caseworker;
AND
- ongoing safety and/or risk concerns have been identified.

When the CONNECTIONS *system* role of CPS Worker/Monitor is not assigned, the Case Planner must complete the Safety Assessment and Risk Assessment Profile, since only the *system* Case Planner or CPS Worker/Monitor can do so.

As a supervisor, you need to be aware of what your workers are responsible for in the FASP based on their assigned role. This will help make sure that the appropriate worker is recording what s/he is responsible for; this supports data integrity and the validity of information. The table below outlines what workers are responsible for in the FASP based on their assigned role:

Role	View FASP	Record FASP	Assemble or Submit FASP	Approve FASP
<i>Case Manager</i>	✓			✓
<i>Case Planner</i>	✓	✓	✓	
<i>Caseworker</i>	✓	✓		
<i>CPS Worker/Monitor</i>	✓	✓		

Submission of the FASP to the Case Planner's supervisor/Unit Approver remains a regulatory requirement; the FASP is automatically submitted to the supervisor that is designated as the Case Planner's Unit Approver. This process is automated in CONNECTIONS for submission to both the Unit Approver and the Case Manager. Unit Approvers can add an additional approver. Workers who want or need to have their supervisor review their work in the FASP (before the Case Planner launches the Case Planner Summary) can send their supervisor a Reminder To-Do to review the FASP online.



The Unit Approver (usually the unit supervisor) reviews and approves (or rejects) all work completed and submitted by workers in the unit.

Each unit has one and only one approver.



CONNECTIONS will not prevent the Case Planner from submitting the FASP for approval if you (the supervisor) are in the process of reviewing a worker's documentation.

The following table explains the FASP approval process based on your *worker's* assigned role. Your use of these methods depends on the assigned role of the workers you supervise.

If you supervise a...	Your Supervisory Responsibilities include...
Case Manager (when a Case Planner is assigned)	You are not required to approve the FASP; however, the Case Manager can add you as an approver.
Case Manager (when no Case Planner is assigned)	You <i>must</i> approve the FASP.
Case Planner	You <i>must</i> approve the FASP before the Case Manager is able to do so.
CPS Worker/Monitor or Caseworker	<p>You should review any information contained in the FASP components the worker completed. The worker can send you a Reminder To-Do to alert you when to review the FASP components s/he completed, before the Case Planner launches the Case Planner Summary. Once the Case Planner launches the Case Planner Summary, other workers assigned to the stage may no longer add or modify "Draft" or "Final" entries in the components with the Case Planner Summary.</p> <div data-bbox="776 1035 1157 1358" style="border: 1px solid black; padding: 10px; text-align: center;">  <p>The system will not prevent the Case Planner from submitting the FASP for approval if you (the supervisor) are in the process of reviewing a worker's documentation.</p> </div>

Supervisory Monitoring Tools

Build 18 introduces the capacity for an online workload and electronic access to cases by multiple staff. In CONNECTIONS, ongoing child welfare services will be documented within a single, online real-time case record. As a supervisor, CONNECTIONS provides tools to assist you in managing your unit(s). In addition to supervising workers, you are responsible for monitoring the work of staff within your respective unit(s), including administrative, managerial and supportive tasks.

Your ability to view documentation in CONNECTIONS depends on the level of security and your Business Function Profile assigned by your agency's Security Coordinator. Having a role in the unit hierarchy as (or above that of) the Unit Approver, combined with certain Business Functions (e.g., UNIT SUM ACCESS, PERSON SEARCH, CASE SEARCH) will grant that access.



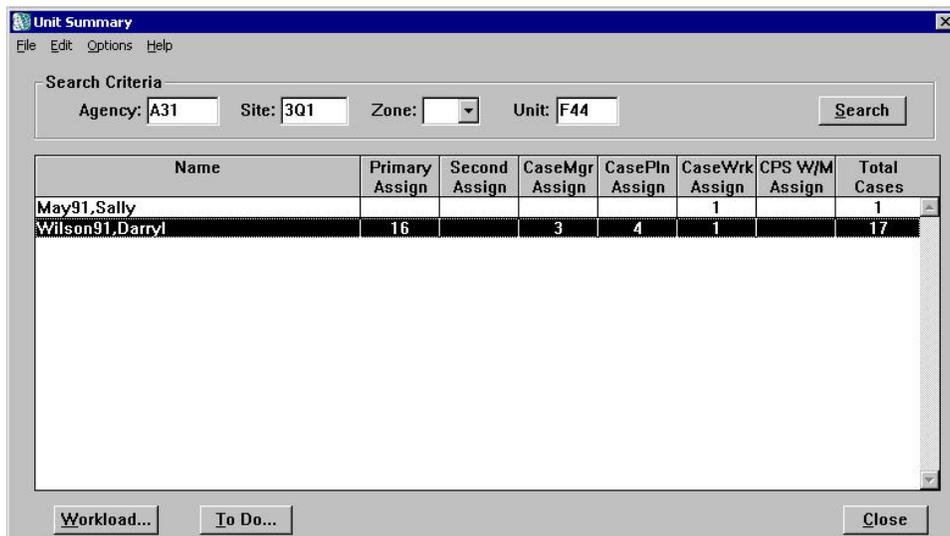
More information about CONNECTIONS security is included in the *Security Step-by-Step Guide* available on the OCFS CONNECTIONS intranet site.

The Unit Summary Window

Monitoring the work of staff supports compliance with Federal Performance Improvement Plan (PIP) Standards for good casework practice, State and Federal regulations and agency policy. The *Unit Summary* window is your pathway to managing the workers you supervise by monitoring their workloads and their To-Do's, and by reviewing their case documentation. From this window, you can navigate to each worker's *Assigned Workload* or *Staff To-Do List*.

From the *Unit Summary* window, you can navigate directly to the worker's *Assigned Workload* by selecting a worker from the list and clicking on the **Workload...** button. From the worker's *Assigned Workload*, you can navigate to the assigned stages; select a stage and click on the **Tasks...** button to view the case details/documentation. For example, you would select an FSS stage to review Progress Notes, the FASP or the Third Party Reviewer comments on the *Service Plan Review* window.

You can view each worker's *Staff To-Do List* to view any overdue To-Do's, by selecting a worker and clicking on the **To Do...** button. The *Staff To-Do List* can help you determine whether a worker's tasks are timely or overdue; you can use this information during your regular case conferences with workers or at supervisory meetings. You can also generate the Family Services Open Caseload Inquiry Report to gather this information (see page 42.)



The screenshot shows the 'Unit Summary' window with a menu bar (File, Edit, Options, Help) and search criteria: Agency: A31, Site: 3Q1, Zone: (dropdown), Unit: F44. A table lists workers and their assignments across various categories. The table has columns: Name, Primary Assign, Second Assign, CaseMgr Assign, CasePln Assign, CaseWrk Assign, CPS W/M Assign, and Total Cases. Two workers are listed: May91.Sally and Wilson91.Darryl.

Name	Primary Assign	Second Assign	CaseMgr Assign	CasePln Assign	CaseWrk Assign	CPS W/M Assign	Total Cases
May91.Sally					1		1
Wilson91.Darryl	16		3	4	1		17

Buttons at the bottom: Workload..., To Do..., Close.

From the *Unit Summary* window, you can also assign or reassign stages and/or specific tasks to be completed within a stage; this could be due to balancing the workloads of workers in your unit/agency, agency restructuring, a worker leaving the unit or agency, or assigning roles as necessitated by any case events (e.g., CPS Worker/Monitor needs to be assigned if CPS issues are identified). By selecting a worker and clicking on the **Workload...** button, you navigate to that worker's *Assigned Workload*. From the *Assigned Workload*, you can select a stage and click on the **Assign...** button, which opens the *Assign* window; from the *Assign* window you can assign work within the unit you supervise, or conduct a Staff Search to assign the stage to a worker in another unit.

For Family Services Stages, there are specific system rules that dictate who may assign roles, and what role(s) they may assign. Those rules are as follows:

- A Case Manager can assign any role.
- A Case Planner can assign any role with the exception of Case Manager.
- A Caseworker can assign another Caseworker only. A Caseworker cannot assign the role of Case Planner, Case Manager or CPS Worker/Monitor.



In CONNECTIONS, the Local District Case Manager or Case Planner can assign the Caseworker role to a worker from another Local District.



Step-by-Step: Accessing a Worker's Assigned Workload

- 1 Click on the **UNIT** button on the CONNECTIONS Toolbar.
The Unit Summary Window displays.
- 2 Click on the **Search** button.
A list of workers within your unit displays.
- 3 Select a worker from the list.
- 4 Click on the **Workload...** button at the bottom of the window.
The selected worker's Assigned Workload displays.



Step-by-Step: Assigning a Role within Your Agency

- 1 From a worker's *Assigned Workload*, select the desired stage(s).
- 2 Click on the **Assign...** button.
The Family Services Assign window displays with available staff in your unit.
- 3 Select a worker and assign a role by clicking on the corresponding button.
- 4 Click on the **Save** button.
The Assigned Workload displays.



Step-by-Step: Assigning a Role Outside of Your Agency

- 1 From a worker's *Assigned Workload*, select the desired stage(s).
- 2 Click on the **Assign...** button.
The Family Services Assign window displays with available staff in your unit.
- 3 Click on the **Options** menu and select the **Staff Search Criteria** command.
*The Staff Search Criteria window displays. The **Agency** field pre-fills with the assigning worker's agency code; to search outside your agency, delete the agency code. If you do not know the agency code, search for the worker's Person ID by conducting a Person Search. Record the Person ID in the **Person ID** field on the Staff Search Criteria window (skip to step 5).*
- 4 Enter the person's First and Last name in the respective fields.

- 5** Click on the **Search** button.
*The Staff List displays search results. If the search was not successful, the following message displays:
"No staff match the entered search criteria. Please change the criteria."*
- 6** From the Staff List, select the appropriate worker.
- 7** Click on the **OK** button.
The Family Services Assign window displays; the worker you added is automatically selected in the Available Staff grid.
- 8** With the worker selected, assign a role by clicking on the corresponding button.
*The worker is added to the **Assignments** grid showing that the worker will be assigned a role. This assignment takes effect when you click on the **Save** button.*
- 9** Click on the **Save** button.
The Assigned Workload displays.

Using Staff and Case To-Do Lists

CONNECTIONS sends workers/supervisors To-Do's to notify them of actions which must be taken on an assigned case, and of events in a case, including when something has happened or is about to happen. You can also send To-Do's to yourself and others using CONNECTIONS.

These To-Do's appear on the *Staff To-Do List* and the *Case To-Do List*. The *Staff To-Do List* contains all To-Do's for a specific staff person. The *Case To-Do List* contains all To-Do's associated with a particular case, regardless of assignment.

To-Do Lists are useful workload management tools in CONNECTIONS. The lists provide you with information about a particular stage. You can also organize your To-Do's, keep the lists current by deleting outdated To-Do's, and reassign To-Do's that should be handled by another worker. It is a good habit to access your *Staff To-Do List* on a daily basis to review any work which has been submitted for your approval or to see if your workers have received any new assignments.

Type	Status	Date	Case Name	Stage ID	Description
A	COMP	02/14/2003	Hobbs, Tami	20300358	New Primary Assignment
A	COMP	02/18/2003	Connors, Sandra	20500358	New Primary Assignment
T	NEW	02/21/2003	Hobbs, Tami	20300359	Safety Assessment is due and must be submit
T	NEW	02/25/2003	Connors, Sandra	20500359	Safety Assessment is due and must be submit
A	COMP	03/13/2003	Antonio, Maria	20100356	New Primary Assignment
A		03/13/2003	Antonio, Maria	20100357	Antonio, Maria is involved in Intake Antonio, Ma
A		03/13/2003	Antonio, Maria	20100357	Evans, Cynthia is involved in Intake Antonio, M:
A		03/13/2003	Antonio, Maria	20100357	Evans, Anthony is involved in Intake Antonio, M
A		03/13/2003	Antonio, Maria	20100357	Pascall, David is involved in Intake Antonio, Ma
A	COMP	03/13/2003	Lachette, Susan	20700267	New Primary Assignment
A	COMP	03/13/2003	Lachette, Susan	20700269	New Primary Assignment
A		03/13/2003	Antonio, Maria		Antonio, Maria case has been merged with Ant
A		03/13/2003	Lachette, Susan		Lachette, Susan case has been merged with L
A	COMP	03/14/2003	Antonio, Maria	20100358	New Primary Assignment
T	NEW	03/20/2003	Antonio, Maria	20100357	Safety Assessment is due and must be submit
T	NEW	03/20/2003	Lachette, Susan	20700268	Safety Assessment is due and must be submit

There are three types of To-Do's:

Alert Alert To-Do's are created by CONNECTIONS to notify workers that something has happened or needs to happen. For example, you are sent an Alert To-Do when a worker receives a new assignment. Alert To-Do's are identified by an "A" in the **Type** column of a To-Do List. You can delete Alert To-Do's at any time. Because they are not directly task-related, you cannot navigate directly from Alert To-Do's to task-related windows.

Reminder Reminder To-Do's are created by CONNECTIONS users. You might create this kind of To-Do to remind yourself of an upcoming appointment. You can also send Reminder To-Do's to other CONNECTIONS users (e.g., workers send you a Reminder To-Do to have you review the FASP). Reminder To-Do's are identified by an "R" in the **Type** column of a To-Do List. Reminder To-Do's can be deleted at any time. Because they are not directly task-related, you cannot navigate directly from Reminder To-Do's to task-related windows.



Refer to the Internal Review Process on page 19 for information regarding a Reminder To-Do.

Task Task To-Do's can be either system- or user-generated to notify workers that there is a task they must complete. Task To-Do's are identified by a "T" in the **Type** column of a To-Do List. Task To-Do's cannot be deleted. The only way to remove a *system-generated* Task To-Do from your *Staff To-Do List* is to complete that task or reassign it to another worker to complete. *User-generated* Task To-Do's can only be removed by entering a **Complete Date** on the *To-Do Detail* window.

Creating a *user-generated* Task To-Do can be helpful if you need another worker to complete a task for a case. For example, you assign a worker a Task To-Do to record a Progress Note entry; this To-Do is created via the *Progress Notes* window by clicking on the **Options** menu and selecting the **To Do** command. If anyone other than an assigned worker or supervisor, such as clerical staff, receives a user-generated Task To-Do to complete Progress Notes, s/he has access only to the *Progress Notes Detail* window and the **Progress Notes** tab; all other tabs on the *Family Services Stage* window are disabled.

An example of a *system-generated* Task To-Do is to approve the Family Assessment and Service Plan. You can navigate to task-related windows from a Task To-Do by selecting it from the list and clicking on the **Navigate...** button.



Step-by-Step: Viewing To-Do's on the *Staff To-Do List*

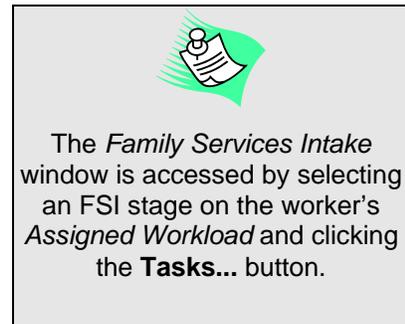
- 1 Click on the **TO-DO** button on the CONNECTIONS Toolbar.
The Staff To-Do List displays.
- 2 Click on a To-Do to select it from the list.
- 3 Click on the **Detail...** button.
The To-Do Detail window displays for the selected To-Do.
- 4 To close the *To-Do Detail* window, click on the **Cancel** button.
The Staff To-Do List displays.
- 5 To close the *Staff To-Do List*, click on the **Close** button.

The Family Services Intake (FSI)

Information must be recorded in CONNECTIONS before a Family Services Stage (FSS) can be opened. Local District and Voluntary workers who have the proper security rights can record Family Service Intakes. Once a worker records all the required information, the FSI may be stage-progressed by the Local District and a Family Services Stage (FSS) may be opened; or, alternatively, the FSI stage may be closed if services are not to be provided.

CONNECTIONS does not require Local District workers to submit an FSI to their supervisor for approval and stage progression; however, local policy may require a review. The **Submit for Review** function supports this process. Voluntary Agency workers also may submit an FSI to their supervisor using this process prior to submitting the FSI to the Local District for approval.

The **Submit for Review** button at the bottom of the **Decision Summary** tab (or the **Submit for Review** command from the **File** menu) on the *Family Services Intake* window opens the *Family Services Assign* window. Workers must record all required information before an FSI can be submitted for review. If the FSI was created by a Voluntary Agency, it can be reviewed by a supervisor in the worker's hierarchy before it is sent to a Local District for acceptance. Once submitted, the Local District can review the FSI (in view-only mode) and decide to accept or reject it.



The FSI is placed on the *Assigned Workload* of the person creating the Intake (the only CONNECTIONS role available in the Family Services Intake is Caseworker and only one worker can be assigned that role at a time). From the *Family Services Assign* window, a worker selects the person to review the FSI. This removes the FSI from the submitting worker's *Assigned Workload* and places it on the *Assigned Workload* of the worker selected as Caseworker on the *Family Services Assign* window.

If the FSI is stage-progressed to a Family Services Stage (FSS), the worker who stage-progressed it is automatically assigned the Case Manager role in the FSS. (For example, if you navigate via the *Unit Summary* window to stage-progress an FSI assigned to a worker you supervise, the FSS displays on your *Assigned Workload* with a role of Case Manager.) This role can be reassigned to another Local District worker (see "Assigning a Role" on page 8 for steps on how to reassign the stage).

The Family Assessment and Service Plan

The Family Assessment and Service Plan (FASP) provides a uniform and effective method for workers to document their assessment of family and child functioning, strengths and needs. Ongoing assessment of family and child functioning, strengths and needs is important in achieving the goals of safety, permanency and well-being for children. These assessments form the basis for determining what aspects of family functioning need to change in order to support the desired outcomes. These assessments also establish a foundation for the service plan.

Therefore, the FASP serves three distinct roles:

- A record of past and current family functioning, including the identification of individual and family strengths, behaviors or conditions that indicate the risk of future abuse or maltreatment and an overall assessment of the family's service needs
- A record of plans to assist the family in meeting the needs and goals of safety, permanency and well-being
- A guide and tool for casework practice and assessment, including calculation of risk ratings

As a supervisor, you will review FASPs on a periodic basis. The specific requirements for any one FASP are dependent upon multiple factors, including the type of FASP (i.e., Initial, Comprehensive, Reassessment or Plan Amendment), as well as the Permanency Planning Goals (PPG), Program Choices and age(s) of the child(ren) in the service case. Each FASP is customized with respect to these factors. The FASP is dynamic; the "look" of the FASP changes as these factors are updated, utilizing information recorded in different areas of CONNECTIONS.

The FASP tree displays only the components that are applicable to that particular case. CONNECTIONS customizes the FASP to include specific nodes, depending on the Program Choice, the PPG and the age(s) of the tracked child(ren). Sub-nodes within a specific FASP provide access to the applicable component detail windows.

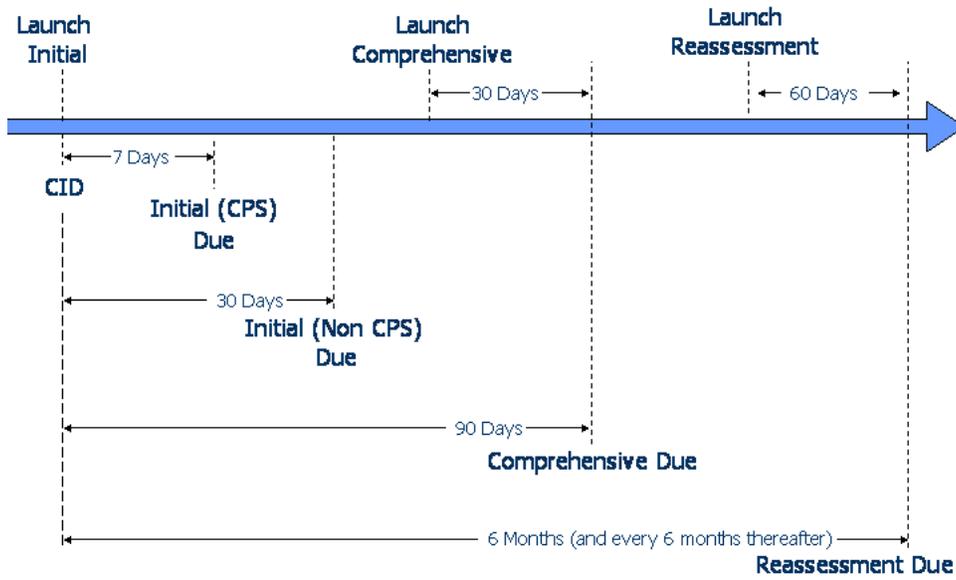
You should check the *Tracked Children Detail* window to make sure workers are selecting the correct PPG and Program Choice(s) in order to have the appropriate FASP components available for completion. This should be verified before workers begin completing any FASP. If a Program Choice or PPG is incorrect, CONNECTIONS might require completion of components that are not relevant or omit presenting sections essential to a complete assessment. PPG and Program Choice selections can be modified once the FASP has been started (launched); this can result in components being added to or removed from the FASP tree. CONNECTIONS will not remove components from the FASP tree once a worker has recorded information in the specific component; the component must be complete in order to submit the FASP.

At times, you may want your workers to record information on components that are not presented on the FASP tree based on the rules in effect. Clicking on the **Add Component** option from the *Family Assessment and Service Plan* window and selecting which component(s) to add, adds the selected component(s) as long as there are no pending approvals. If an approval is pending, components can only be added by the Case Planner.

The timeframes for when a FASP must be completed remain the same as the paper-based Uniform Case Record (UCR). Unlike the UCR, workers can only initiate (Launch) a FASP within designated time frames, as illustrated in the graphic on the next page.

FASP Timeline

(not to scale)



The Plan Amendment

A Plan Amendment is a type of FASP that is used to record any significant changes that occur between FASP cycles. As a type of FASP, Plan Amendments are also completed online and the rules for review and approval are the same as for all FASP types. Plan Amendments are launched from the FASP window and can only be launched between FASP cycles for an approved FASP. One cannot be launched if there is an In-Process FASP or a Pending FASP. In these cases, the changes that need to be made must be recorded in the appropriate FASP rather than in a Plan Amendment, unless the Plan Amendment is for the purpose of closing the Family Services Stage.

A Plan Amendment may be completed for any approved FASP type (i.e., Initial, Comprehensive or Reassessment) and is supported for both FSS/CWS and FSS/CCR stages. In order to have access to the necessary status change options, the child's Program Choice must be changed on the *Tracked Children Detail* window prior to launching and completing the Plan Amendment. If the Program Choice is not modified prior to launching the Plan Amendment, workers can update the Program Choice after they launch the Plan Amendment which adds the status change(s) to the *Plan Amendment Maintenance* window.

The selection of Plan Amendment nodes is similar to how workers start completing a Plan Amendment on the paper-based version; they select the reason(s) for completing a Plan Amendment. When a Case Planner or Caseworker launches a Plan Amendment, s/he selects the desired status change(s) in the *Plan Amendment Maintenance* window by clicking on each desired sub-node and adding it to the selected Status Changes grid. Upon clicking on the **Save** button on the *Plan Amendment Maintenance* window, CONNECTIONS dynamically builds the appropriate sub-nodes on the FASP tree. (See the graphics on the following pages.)

The Case Planner submits the Plan Amendment for approval using the same method used for other types of FASPs (from the *Check FASP Detail Component Status* window). When a Plan Amendment is submitted, all workers in the stage receive an Alert To-Do on their *Staff To-Do List*.



For ACS:

All planned status changes must be documented and pre-approved by the ACS Case Manager through the use of Progress Notes. If the Plan Amendment can be launched, it is to be completed and submitted within 15 days of the status change.

An exception to this is a child's first movement within foster care, which does not require pre-approval by ACS if the move is made within 120 days of initial placement and the move is to the same level of care within the same agency.



For ACS:

When a status change occurs at a time when a Plan Amendment *cannot* be launched:

- the status change(s) must be documented in Progress Notes *and* in the next FASP;
- WMS and/or CCRS must be updated *immediately*, and
- the Case Planner must send a Reminder To-Do to the Case Manager alerting him/her of the status change and requesting approval. Both the request and the Case Manager's action (approval or rejection) must be documented in Progress Notes.



Step-by-Step: Creating a Plan Amendment and Selecting a Status Change

- 1 On the FASP window, click on the drop-down arrow for the **Launch New FASP...** field and select **Plan Amendment** from the resulting list.
- 2 Click on the **Launch** button.
The preliminary launch edits begin.
- 3 Once the edits have been completed, **Plan Amendment** is added as a node on the FASP Tree. *Several secondary edits must be passed to launch a Plan Amendment successfully.*
- 4 Click on the **Plan Amendment** node.
*The Plan Amendment Maintenance window displays. "Update Service Plan" displays on the **Selected Status Changes** list.*
- 5 Highlight the desired status change(s) on the **Status Change** list.
- 6 Click on the >> (Add) button.
*The selected status changes are added to the **Selected Status Changes** list. If necessary, repeat **Steps 5 and 6** to add more status changes.*
- 7 Click on the **Save** button when you have added the desired status changes.



Multiple status changes can be selected at once by holding down the **Shift** key while clicking on the desired rows (to select adjacent rows) or by using the **Ctrl** key while clicking with the mouse (to select adjacent or non-adjacent rows).



Program Choice directly impacts the status change options available to you on the *Plan Amendment Maintenance* window.

For example, to select the status change of "Preventive Services Ended," you must do so *after* launching the Plan Amendment, but *before* end dating the corresponding Program Choice on the *Tracked Children Detail* window.

In another example, if you are using a Plan Amendment to record that a child receiving Preventive Services was placed in foster care, you must launch the Plan Amendment, add the Program Choice of "Placement" on the *Tracked Children Detail* window, and only then will the status change of "Child Entering/Reentering Foster Care" display on the *Plan Amendment Maintenance* window.

Launching a Plan Amendment When a FASP is available for Launch

Family Assessment & Service Plan - Collins, Kristy - S:24000371/C:34000107

File Options Reports Help

Case Name: Collins, Kristy Case Initiation Date: 09/27/2004

Initial - Approved 09/28/2004
Comprehensive - Not Launched

CID Trigger Dates

Date of Application: 9/27/2004 Date of Court Order: 9/27/2004

Date of Indication: 09/27/2004 Date of Placement: 9/27/2004

Next FASP Due Date: Next SPR Meeting Date:

FASP

A Comprehensive FASP is available for launch. Are you closing this Family Services Stage

Yes No

Program Choice
Protective
Protective
Protective

Launch New FASP

Plan Amendment

Launch

FASP is OVERDUE.

Tracked Children

Selecting Status Changes

Family Assessment & Service Plan - Collins, Kristy - S:24000371/C:34000107

File Options Reports Help

Case Name: Collins, Kristy Case Initiation Date: 09/27/2004

Plan Amendment Maintenance - Collins, Kristy - S:24000371/C:34000107

File Help

FASP Type: Initial Next FASP Type:

Approved Date: 9/28/2004 Next FASP Due Date:

Status Changes:

- Adolescent Discharged to Independent Living
- Child Discharged to Adult Residential Care
- Case Closed to CPS
- Child Entering/Reentering Foster Care
- Child Discharged to Home, Relative or Other Caretaker
- Child Moved From One Foster Care Setting to Another
- Case Open to CPS
- Other Status Change
- Visitation Plan Changed

Selected Status Changes:

Update Service Plan

>>

<<

Selected Status Changes

Family Assessment & Service Plan - Collins,Kristy - S:24000371/C:34000107

File Options Reports Help

Case Name: Collins,Kristy Case Initiation Date: 09/27/2004

Plan Amendment Maintenance - Collins,Kristy - S:24000371/C:34000107

File Help

FASP Type: Next FASP Type:

Approved Date: Next FASP Due Date:

Status Changes: Selected Status Changes:

Adolescent Discharged to Independent Living
 Child Discharged to Adult Residential Care
 Child Entering/Reentering Foster Care
 Child Discharged to Home, Relative or Other Caretaker
 Child Moved From One Foster Care Setting to Another
 Case Open to CPS
 Visitation Plan Changed

Update Service Plan
 Case Closed to CPS
 Other Status Change

>> <<

Save Cancel

Launch

Check FASP Detail Save Cancel Close

Plan Amendment Status Changes Added to the FASP Tree

Family Assessment & Service Plan - Collins,Kristy - S:24000371/C:34000107

File Options Reports Help

Case Name: Collins,Kristy Case Initiation Date: 09/27/2004

- Initial - Approved 09/28/2004
- Plan Amendment - In Process
 - Case Closed to CPS
 - Safety Assessment
 - Other Status Change
 - Update Service Plan
- Comprehensive - Not Launched

CID Trigger Dates

Date of Application: Date of Court Order:

Date of Indication: Date of Placement:

Next FASP Due Date: Next SPR Meeting Date:

Name	DOB	Age	PPG	Program Choice
Collins,Kristy	2/19/1974	31		
Collins,Kimberly	8/16/1997	7	Return to Parent	Protective
Collins,Patrick	4/22/1989	15	Return to Parent	Protective
Collins,Thomas	11/24/1965	39		
Collins,Tyler	3/30/2004	0	Return to Parent	Protective

Tracked Children

Launch New FASP

Launch

Check FASP Detail Save Cancel Close

The Family Assessment and Service Plan Review and Approval Process

The FASP nodes (e.g., Strengths/Needs and Risks, Service Plan) are not approved separately, but together as part of the FASP approval process. You review case documentation recorded by the workers in your unit by evaluating each worker's documentation for thoroughness and accuracy. You consider whether it meets established child welfare and agency standards for good casework practice (e.g., what a Caseworker needs to document to support a case) and either approve or reject the documented work. Building in a review process in your agency will provide you with the opportunity to make certain that workers are recording the appropriate information about the child or family in each FASP component. This will be crucial prior to the family reviewing the document and prior to the Service Plan Review.

As a supervisor, there are two methods available for you to review a FASP: the Internal Review Process and the Formal System Review and Approval Process. The *Internal Review Process* is not prompted by CONNECTIONS itself; rather it depends on you and your staff to take certain steps. The *Formal System Review and Approval Process* is built into CONNECTIONS, forcing you to complete the process.

Your use of these methods depends on the assigned role of the workers you supervise.

If you supervise a:	Review Process
Case Worker	Internal Review
Case Planner	Formal System Review and Approval
Case Manager (with no Case Planner assigned)	Formal System Review and Approval
Case Manager (with a Case Planner assigned)	Internal Review

Internal Review Process

Agency policy may require, or workers may desire, supervisors to review their documentation in the FASP (before the Case Planner launches the Case Planner Summary). Workers accomplish this by sending a Reminder To-Do to their supervisor to review the FASP online. Remember that as a worker's supervisor, you can review his/her work at any time without receiving a Reminder To-Do. You can access a worker's assigned stages via either a Case or Stage Search or by accessing the stage on the worker's *Assigned Workload* via the *Unit Summary* window. (See "The *Unit Summary* Window" on page 7 for details.)



The system will not prevent the Case Planner from submitting the FASP for approval if you are in the process of reviewing a worker's documentation.

When generating a Reminder To-Do (see "Generating a Reminder To-Do" on page 20), your workers must conduct a Staff Search to designate you as the reviewer. The worker enters your name, conducts a Staff Search and then selects you from the search results. The worker must record a short description of what to review. Once the Reminder To-Do is saved, it is added to your *Staff To-Do List*.

You access your *Staff To-Do List* and view the details of the Reminder To-Do (see “Viewing a Reminder To-Do and Navigating to Work to be Reviewed” on page 21). You then access the worker’s *Assigned Workload*, select the FSS stage and navigate to the work to be reviewed. Once you access the FASP, you can review each node or sub-node individually. You can click on each sub-node individually to review the information contained on the window(s) or click on the **Reports** menu and select the desired node (or sub-node) to review. The selected node or sub-node displays in Print Preview format.

If in your review, you determine that further work should be documented in any of the FASP nodes, you will communicate the specific nodes that need to be modified, either directly to the worker or via a Reminder To-Do that appears on the worker’s *Staff To-Do List* (see below for steps on creating a Reminder To-Do). If you are the supervisor of a Case Planner and upon your review you are confident that the FASP is complete, you can advise the Case Planner to submit the FASP for formal approval.

This same process applies for the internal review of any case documentation. A review process for anything other than the FASP is subject to the policies and procedures that every agency should develop and consistently apply.



Step-by-Step: Generating a Reminder To-Do

- 1 Click on the **To-Do** icon.
- 2 Click on the **New...** button on the *Staff To-Do List*.
*The To-Do Detail window displays. The **Short Desc** field is empty, since you have not associated the To-Do with a particular stage or task.*
- 3 Click on the **Staff** button.
- 4 Record the name (e.g., supervisor’s name).
- 5 Click on the **Search** button.
- 6 Select the worker/supervisor and click on the **OK** button.
- 7 Record comments in the **Short Desc** field.
- 8 Click on the **Save** button.
The To-Do is saved and added to the designated Staff To-Do List.
- 9 Click on the **Close** button.
The CONNECTIONS Toolbar displays.



Step-by-Step: Viewing a Reminder To-Do and Navigating to Work to be Reviewed

- 1 Click on the **To-Do** button.
- 2 Select the Reminder To-Do designated with an “R” in the **Type** column.
- 3 Click on the **Detail** button.
The To-Do Detail window displays.
- 4 Click on the **Cancel** button.
The Staff To-Do List displays.
- 5 Click on the **Close** button.
The CONNECTIONS Toolbar displays.
- 6 Click on the **UNIT** button on the CONNECTIONS Toolbar.
The Unit Summary window displays.
- 7 Click on the **Search** button.
A list of workers within your unit displays.
- 8 Select a worker from the list.
- 9 Click on the **Workload...** button at the bottom of the window.
The selected worker's Assigned Workload displays.
- 10 Select the desired FSS stage.
- 11 Click on the **Tasks...** button.
The Family Services Stage displays for you to review the work (e.g., the FASP).

Formal System Review and Approval

There are several behind-the-scenes processes in CONNECTIONS when a FASP is submitted for approval. Because the FASP is comprised of multiple components, these processes review each FASP component for completeness. If a required tab or field was not completed, the FASP submission process suspends. The Case Planner is presented with a list of the incomplete components (e.g., Family Update, not what is missing in the component); this enables the Case Planner to return to each affected node and complete the necessary information.

Once all of the FASP components are reviewed and found to be complete by the system, Approval Task To-Do's are created when the Case Planner clicks on the **Submit** button on the *Check FASP Detail Component Status* window. The Case Planner saves this Approval Task To-Do and the FASP is automatically submitted to the person designated as the Case Planner's Unit Approver and to the Case Manager for approval. A message displays, listing to whom the Approval Task To-Do's have been submitted, with the option of adding an additional approver. If the Case Planner adds one or more additional approvers (this is allowed only within the Case Planner's own agency), **those additional approvers must approve the FASP before the Case Manager can do so.**

If the Case Planner is the supervisor/Unit Approver, the following message displays on the *To Do Detail* window:

"Case Manager submitted this approval. Approval Todo created for Case Manager. You must submit this approval to another worker in your Agency."

- Clicking on the **OK** button displays the *Staff Search Criteria* window requiring the Case Planner to select another approver from his/her unit; **this process must occur before the Case Manager can approve the FASP.**

The following message displays if the Case Planner attempts to close the Approval To-Do without selecting another approver:

"You must submit this approval to another worker in your Agency."

As a supervisor, you can submit the FASP for approval on behalf of the Case Planner once the Case Planner has completed all required components. To submit the FASP, you will navigate to the Case Planner's *Assigned Workload* via the *Unit Summary* window. CONNECTIONS records that you sent the FASP for approval on behalf of the Case Planner; this is reflected on the *Approval Status* window and in the *Event List*. There is the option to add another approver (e.g., another supervisor). If the Case Manager is acting in the role of the Case Planner (i.e., no Case Planner is assigned), you *cannot* submit the FASP for approval on behalf of that worker, since you would then be responsible for the final approval (because you are the Case Manager's supervisor/Unit Approver).

The Case Planner's supervisor/Unit Approver and the Case Manager are notified of the submission by an Approval Task To-Do on the *Staff To-Do List*. The system simultaneously



Any changes in roles and/or designating an approver/supervisor should be made in CONNECTIONS before launching and submitting the FASP.

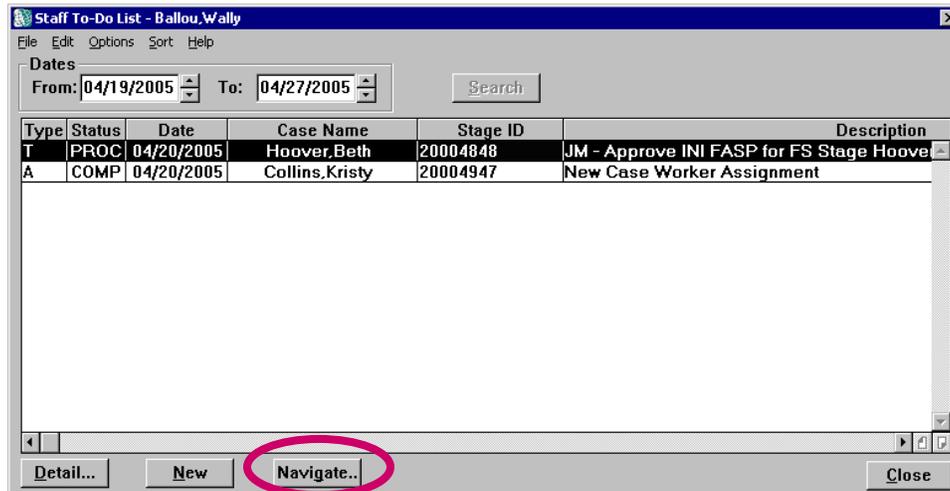


When the FASP is submitted by the Case Manager (in cases where no Case Planner is assigned, so the Case Manager is acting as the Case Planner), CONNECTIONS sends an Approval Task To-Do to the Case Manager's designated Unit Approver.

If the Case Manager is also the Unit Approver, the **Assigned To** field will be blank and the Case Manager must search for another staff member in his/her agency to whom s/he will submit this approval.

generates two Approval Task To-Do's: one for the Case Planner's designated Unit Approver and one for the Case Manager. You can navigate from your *Staff To-Do List* to approve the FASP.

From the *Staff To-Do List*, you can select the Approval Task To-Do and view the details of the To-Do by clicking on the **Detail...** button. Clicking on the **Navigate...** button displays the FASP report, which was created upon submission.



You navigate to this report (rather than to the individual FASP windows) via the Approval Task To-Do that you received. The format of the report will be different from the layout of the information on the windows, but it contains the same content (*excluding the individual entries where the Case Planner Summary exists; only the Case Planner Summary is presented in the report format*), including all case, stage and worker identifying information. Until the FASP is approved, the FASP report can only be accessed via the Approval Task To-Do. However, all assigned workers may still view the FASP information online in the window format until the FASP is approved. As a supervisor, you can access the FASP window via the *Unit Summary* window to compare what individual workers recorded versus what the Case Planner recorded in the Case Planner Summary. The Case Manager can navigate via his/her *Assigned Workload* to view individual worker entries versus the Case Planner Summary.



If you supervise workers who share cases with the OCFS/Division of Rehabilitative (DRS), the order of the approval process adds a step for the DRS worker to approve the FASP:

1. Case Planner to the Case Planner's supervisor/Unit Approver (also to any additional approvers within the Case Planner's agency)
2. DRS approver (the OCFS/DRS Caseworker)
3. Final approval by the Local District Case Manager

Refer to the *OCFS Custody Youth Placed in Voluntary Agencies Job Aid* available on the OCFS CONNECTIONS Intranet site for details.

FASP Report

FASP - Stage ID: 29200164

FAMILY ASSESSMENT AND SERVICE PLAN

WARNING
 CONFIDENTIAL INFORMATION
 AUTHORIZED PERSONNEL ONLY

Case Name:	Hoover, Beth	Stage ID:	29200164
Case ID:	34900101	Stage Name:	Hoover, Beth
Case Initiation Date:	03/15/2005	Report Date:	03/15/2005
District With Case Management:	ONONDAGA	District/Agency with Case Planning:	

FAMILY ASSESSMENT AND SERVICE PLAN (FASP) INFORMATION

FASP Type: Initial FASP Status: In Process FASP Due Date: 04/14/2005

WORKER INFORMATION

WORKER NAME	ROLE	ASSOC. CHILD(REN)	AGENCY/COUNTY	UNIT	END DATE
Wilsor92, Darryl	Case Manager		Onondaga County Dss	F45	

FAMILY SERVICES STAGE COMPOSITION INFORMATION

1) Last, First Middle Sfx: Hoover, Beth	DOB: 05/11/1972	Age: 32	Primary Caretaker
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Print
Zoom In
Zoom Out
90%
Close

Once you have reviewed the FASP, you must record an approval decision. Select the approval item in the grid and click on the **Approve** button. The following message displays, providing the option to add an additional approver:

“Approval completion will freeze events. Do you wish to add another approver?”

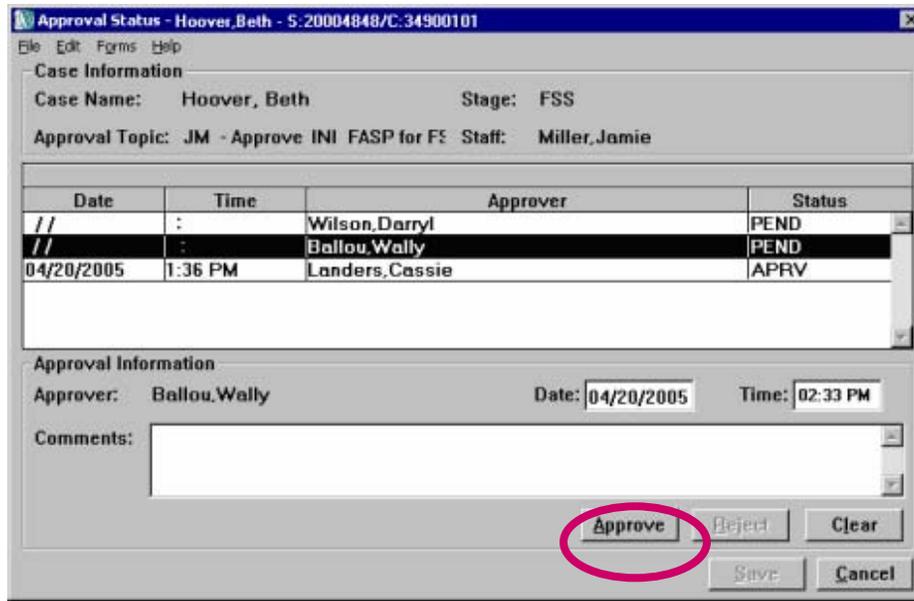
If you click on the **No** button, an additional approver is not added and you can complete the approval by clicking on the **Save** button. If you click on the **Yes** button, the *Staff Search* window displays, allowing you to search for and subsequently add another approver. Clicking on the **Help** button displays CONNECTIONS Online Help.

As each approver records an approval of the FASP, that approval is marked as APRV (“Approved”). At this point in the formal process, your role in approving the FASP is complete and the Case Manager can now review the FASP. Any outstanding approvals (e.g., the Case Manager’s or any additional approvers) display with a PEND (“Pending”) status on the *Approval Status* window. This can serve as an indication to the Case Manager that s/he must approve the FASP.



The status of the FASP approval can be checked from the *Approval Status* window or from the *Event List* for a selected stage.

You can easily monitor the approval status by checking the *Approval Status* window, which can be accessed from the *Event List*. If the Case Manager navigates from an Approval Task To-Do that has pending approvals, s/he cannot approve the FASP, but is notified that a pending approval exists (e.g., Case Planner’s supervisor/Unit Approver must approve the FASP first).



Once the Case Manager (acting as the final approver) reviews and approves the FASP, the information previously recorded on the various FASP components can now only be found on the Final FASP report document. Careful consideration must be taken when that final approval is recorded; whatever information is recorded in the system for that stage will remain frozen as part of the case record and will be included on any system outputs. You can view previous FASPs from the FASP tree; the manner in which the information displays is dependent on whether the FASP is in-process, pending, or is approved. You can also view previous FASPs, from the *Event List* in view-only mode.



Step-by-Step: Approving a FASP

- 1 Click on the **TO-DO** button on the CONNECTIONS Toolbar.
The Staff To-Do List displays.
- 2 From the Staff To-Do List, select the Task To-Do with the following description: "<Worker initials>-Approve <Type> FASP for FS Stage <Name>."
- 3 Click on the **Navigate...** button.
The FASP report displays.
*You can click on the **Print** button to print a copy of the FASP report.*
- 4 When you have finished reviewing the report, click on the **Close** button.
The Approval Status window displays.
- 5 Select the approval item listed with your name in the grid.
- 6 Click on the **Approve** button.
The following message displays:
"Approval completion will freeze events. Do you wish to add another approver?"
- 7 Click on the **No** button to complete the approval without adding another approver.
*Skip to **Step 12**.*
—OR—
Click on the **Yes** button to add another approver.
The To-Do Detail window displays.



- 8 Click on the **Staff...** button.
The Staff Search Criteria window displays.
- 9 On the *Staff Search Criteria* window, enter the approver's name in the **First** and **Last Name** fields.
- 10 Click on the **Search** button.
The Staff List displays with the results of your search.
- 11 Select the approver and click on the **OK** button.
*The Approval Status window displays, with the selected person listed in the **Assigned To** field.*
- 12 Click on the **Save** button.
The Staff To-Do List displays.

Rejecting a FASP

In the review process, you or the Case Manager may find that submitted work needs to be rejected if it is incomplete or inaccurate. To reject the FASP (and any other work in CONNECTIONS), you must record comments explaining what the Case Planner needs to modify; recording comments enables the **Reject** button. CONNECTIONS sends a Task To-Do that displays on the Case Planner's *Staff To-Do List* with a status of REJT ("Rejected"). The Case Planner can then navigate to the task in order to modify and resubmit the FASP. The FASP cannot be approved by other approvers when it has been rejected. If an approver navigates from the Approval Task To-Do, a message displays, indicating that the approval has been invalidated by another approver and that the Approval Task To-Do will be deleted. When the approver clicks on the **OK** button in response to that message, the *Approval Status* window displays the REJT ("Rejected") status for the approver who rejected the FASP, and INVD ("Invalidated") for all other outstanding approvals. The only way to exit the *Approval Status* window in this circumstance is to click on the **Cancel** button; the Approval Task To-Do no longer displays on the *Staff To-Do List*.

Events are generated to the *Event List* when you reject submitted work. You will be able to view the original reason(s) for rejecting the task to make certain the worker has made the requested modifications.



Step-by-Step: Rejecting a FASP

- 1 Click on the **TO-DO** button on the CONNECTIONS Toolbar.
The Staff To-Do List displays.
- 2 From the *Staff To-Do List*, select the Task To-Do with the following description: "<Worker initials>-Approve <Type> FASP for FS Stage <Name>."
- 3 Click on the **Navigate...** button.
*The FASP report displays. You can click on the **Print** button to print a copy of the FASP report.*
- 4 When you have finished reviewing the report, click on the **Close** button.
The Approval Status window displays.
- 5 Select the approval item listed with your name in the grid.
- 6 Record comments in the **Comments** field.
*The **Reject** button enables.*
- 7 Click on the **Reject** button.
The status of the To-Do changes to REJT ("Rejected").
- 8 Click on the **Save** button.
The Staff To-Do List displays.

Stage Closure Process

Only the Case Planner or the Case Manager may close a Family Services Stage (FSS). If the Case Planner or Case Manager is submitting an FSS/CWS or FSS/CCR for closure, CONNECTIONS determines whether a Plan Amendment with an “ending” or “discharge” type exists for this stage, or if there is a Family Assessment and Services Plan (FASP) for this stage currently in Pending status or approved within the last 30 days. If one of these criteria exists, the system proceeds with the stage closure.

If the Case Planner or Case Manager is submitting an FSS/OTI, FSS/COI, FSS/ADVPO or FSS/ICPC stage for closure, the closure can be submitted without any further work or checks by the system.

Closing a Family Services *stage* also closes the corresponding case if the FSS is the only open stage in the case, other than an ARI stage. The case is not closed if there is an open FSI, FSS, CPS Intake or CPS Investigation.

To close an FSS, the Case Planner or Case Manager selects the desired stage from the Stage Information grid on the *Case Summary* window and clicks on the drop-down arrow for the **Reason Stage Closed** field. The desired closure reason is then selected from the resulting list. S/he then clicks on the **Submit** button to submit the stage closure to the appropriate person(s) for approval.

Stage Closure Approval Process

Once all of the submission criteria are met, an Approval Task To-Do is created. The Case Planner saves this Task To-Do and the FSS is submitted to the Case Manager and the Case Planner’s Unit Approver for review and approval. Two Approval Task To-Do’s are created: one for the Case Planner’s designated Unit Approver and one for the Case Manager. You can navigate from your *Staff To-Do List* to approve the stage closure by clicking on the **Navigate...** button.

If the FSS is the only stage in the case, when you click on the **Navigate...** button, the following message displays:

“Closing of stage will close the case – do you wish to continue?”

To proceed with the case and stage closure, click on the **Yes** button and the *Case Summary* window displays. The *Case Summary* window displays immediately upon clicking on the **Navigate...** button if the case has other open stages.

If this FSS was one in which the Stage Closure Question was required and answered, the following message displays, along with the *Case Summary* window:

“The Closure Question has been answered.”



If the Case Planner initiates the stage closure, s/he submits it to his/her Unit Approver and Case Manager for approval.

If the Case Manager initiates the stage closure, s/he submits it to his/her Unit Approver for approval.



If someone other than the Case Manager or Unit Approver attempts to approve an FSS closure, the following message displays:

“Case Manager/Supervisor Approval is needed.”

The *To-Do Detail* window displays the appropriate person.

If the FSS being submitted for closure involves a child who is in the custody of OCFS and has been placed in a Voluntary Agency, the Case Planner’s submission is first directed to the Division of Rehabilitative Services (DRS) worker assigned to the stage, then to the Case Manager of the FSS.

You can then click on the **OK** button to close the message window and review the information recorded on the *Case Summary* window. After reviewing the closure information, cancel out of the *Case Summary* window and the *Approval Status* window displays. Here, you must select your name and click on the **Approve** button. The following message displays:

*“Approval completion will freeze Events.
Do you wish to add another approver?”*

If no other approver is needed, click on the **No** button and then the **Save** button on the *Approval Status* window.

The Case Manager follows the same steps to approve the FSS. The Case Manager can only approve the FSS *after* you (and any other approvers) have completed the approval process.

Once the approval is complete, the following Alert To-Do displays on the Case Planner’s *Staff To-Do List*:

“Approval Complete! Events have been frozen.”

CONNECTIONS notifies WMS that the FSS stage is closed; WMS updates the codes to reflect the stage closure. Although the WMS codes are updated, the worker must also close the case in WMS separately.

Stage Closure Rejection Process

In the review process, you or the Case Manager may find that submitted work needs to be rejected if it is incomplete or inaccurate. To reject the stage closure, you must record comments explaining what the Case Planner needs to modify; recording comments enables the **Reject** button. CONNECTIONS sends a Task To-Do that displays on the Case Planner’s *Staff To-Do List* with a status of REJT (“Rejected”). The Case Planner can then navigate to the task in order to modify and resubmit the stage for closure. The stage closure cannot be approved by other approvers when it has been rejected. If an approver navigates from the Approval Task To-Do, a message displays, indicating that the approval has been invalidated by another approver and that the Approval Task To-Do will be deleted. When the approver clicks on the **OK** button in response to that message, the *Approval Status* window displays the REJT (“Rejected”) status for the approver who rejected the stage closure and INVD (“Invalidated”) for all other outstanding approvals. The only way to exit the *Approval Status* window in this circumstance is to click on the **Cancel** button; the Approval Task To-Do no longer displays on the *Staff To-Do List*.

Events are generated to the *Event List* when you reject submitted work. You will be able to view the original reason(s) for rejecting the task to make certain the worker has made the requested modifications.



If there is a Pending FASP, it must be approved before the stage closure can be approved.

The following message displays if a supervisor clicks on the **Approve** button when there is a Pending FASP:
“Pending FASP must be approved first.”

The supervisor must click on the **OK** button to close the message and return to his/her *Staff To-Do List*, where s/he can select the Approval Task To-Do for the Pending FASP.



Step-by-Step: Approving a Stage Closure

- 1 Click on the **TO-DO** button on the CONNECTIONS Toolbar.
The Staff To-Do List displays.
- 
- 2 From the *Staff To-Do List*, select the “Approve FSS Stage Closure” row.
 - 3 Click on the **Navigate...** button.
If the FSS is the only stage in the case, the following message displays:
“Closing of stage will close the case – do you wish to continue?”
*To proceed with the case and stage closure, click on the **Yes** button and the Case Summary window displays.*

If this FSS was one in which the Stage Closure Question was required and answered, the following message displays:
“The Closure Question has been answered.”
*Click on the **OK** button to close the message window.*
 - 4 Review the information on the *Case Summary* window, then click on the **Close** button.
The Approval Status window displays.
 - 5 Select the approval item listed with your name in the grid.
 - 6 Click on the **Approve** button.
The following message displays:
“Approval completion will freeze events and all draft Progress Notes for the stage. Do you wish to add another approver?”
 - 7 Click on the **No** button to complete the approval without adding another approver.
*The **Status** field changes to “APRV” (Approved). Skip to **Step 12**.*
—OR—
Click on the **Yes** button to add another approver.
The To-Do Detail window displays.
 - 8 Click on the **Staff...** button.
The Staff Search Criteria window displays.
 - 9 On the *Staff Search Criteria* window, enter the approver’s name in the **First** and **Last Name** fields.
 - 10 Click on the **Search** button.
The Staff List displays with the results of your search.
 - 11 Select the approver and click on the **OK** button.
*The Approval Status window displays, with the selected person listed in the **Assigned To** field.*
 - 12 Click on the **Save** button.
The Staff To-Do List displays.



Step-by-Step: Rejecting a Stage Closure

- 1 Click on the **TO-DO** button on the CONNECTIONS Toolbar.
The Staff To-Do List displays.
- 
- 2 From the *Staff To-Do List*, select the “Approve FSS Stage Closure” row.
 - 3 Click on the **Navigate...** button.
If the FSS is the only stage in the case, the following message displays:
“Closing of stage will close the case – do you wish to continue?”
*To proceed with the case and stage closure, click on the **Yes** button and the Case Summary window displays.*

If this FSS was one in which the Stage Closure Question was required and answered, the following message displays:
“The Closure Question has been answered.”
*Click on the **OK** button to close the message window.*
 - 4 Review the information on the *Case Summary* window, then click on the **Close** button.
The Approval Status window displays.
 - 5 Select the approval item listed with your name in the grid.
 - 6 Record comments that explain your decision to reject the stage closure in the **Comments** field.
*The **Reject** button enables.*
 - 7 Click on the **Reject** button.
*The **Status** field changes to “REJT” (Rejected).*
 - 8 Click on the **Save** button.
The Assigned Workload displays.

Progress Notes

A main component of your supervisory responsibilities includes reviewing worker's documentation. Casework contacts are recorded on the *Progress Notes Detail* window in CONNECTIONS. The ability to access, view and maintain Progress Notes is dependent on a number of factors. The worker's assigned role in the stage and the need to complete certain tasks determine the security rights that are assigned.

In order to *create* notes, a worker must be:

- assigned a role in the stage;
- granted maintain access to the *Assigned Workload* of a worker who has a role in the stage;
- within the assigned worker's unit hierarchy (e.g., the Unit Approver);
- assigned the ENTER PROG NOTE Business Function; or
- assigned a Progress Notes Task To-Do (created via the *Progress Notes* window by clicking on the **Options** menu and selecting the **To Do** command).

In order to *modify* notes, a worker must be:

- the Progress Note's Author; or
- the Progress Note's Entered By person (e.g., Clerical staff).



Supervisors cannot modify entries recorded by another worker; however, you can add an addendum.

Progress Notes - S:24000371/C:34000107

File Options Help

Case Name: Collins,Kristy Case Initiation Date: 9/27/2004

Search Progress Notes

From Event Date: 3/29/2005 To Event Date: 3/29/2005 Type: ...

Author: Family Part: Method:

Entered By: Other Part: Purpose:

District/Agency: Focus: Location:

Event Date	Note Status	Type	Method	Location	Participant	Other Participant	Authc
9/27/2004	Final	Family/Primary Discharge	Face To Face	LDSS Office/Field Office	Collins,Kimberly; Collins,Kristy		Wilson
9/27/2004	Final	Casework Contact	Face To Face	Case Address	Collins,Kristy		Wilson

Searching for Progress Notes

A Progress Notes search can be conducted on the *Progress Notes* window. You may find it useful to search for notes (e.g., to view previously recorded notes when reviewing work, to determine the number of home visits and casework contacts in a given time period, how up-to-date your worker's notes are, etc). For example, if you want to know how many home visits have been made in the past six months, choose a date range that corresponds with the last six months and select "Foster Home" for the location of the contact. This search will return foster home visits from the past six months.



Step-by-Step: Searching for Progress Notes

- 1 See "Accessing a Worker's Assigned Workload" on page 8 to access your worker's *Assigned Workload*.
- 2 Select the desired FSS stage.
- 3 Click on the **Tasks...** button.
The Family Services Stage displays.
- 4 Click on the **Progress Notes** tab.
The Progress Notes window displays.
- 5 On the *Progress Notes* window, enter search criteria in the data fields in the upper half of the window.
Multiple fields can be used to search for notes; however, keep in mind that the more search criteria you enter, the more limited your search will be.
- 6 Click on the **Search** button.
*The search results display with all notes that match the search criteria. To complete another search, click on the **Refresh List** button to search the entire record for the stage, otherwise search results are based on the existing criteria.*

Recording Progress Notes

In your supervision of workers, you may want to record details of case conferences and discussions you have with your workers related to their cases. You may also need to record a note related to a contact you made on a case (e.g., a telephone discussion with your legal staff). Progress Notes you record are listed with your name as the Entered By person and the author.



Step-by-Step: Recording Progress Notes

- 1 See "Accessing a Worker's Assigned Workload" on page 8 to access your worker's *Assigned Workload*.
- 2 Select the desired FSS stage.
- 3 Click on the **Tasks...** button.
The Family Services Stage displays.
- 4 Click on the **Progress Notes** tab.
The Progress Notes window displays.



Progress notes cannot be recorded when an approval is pending for a stage closure. To enter a progress note in this case, the pending approval must be invalidated.

- 5 On the *Progress Notes* window, click on the **New Note** button to open the *Progress Notes Detail* window to create a new note.
*The **Author** field on the Progress Notes Detail window pre-populates with the name of the worker logged on to CONNECTIONS; to change this information, click on the drop-down arrow for the **Author** field and select a different author from the resulting list.*
- 6 In the **Event Date** field, click on the checkbox for the current date to accept that date.
To select a different date, click on the drop-down arrow and select from the resulting calendar.
- 7 In the **Type** field, click on the ellipsis (...) button to the right of the field.
The Type window displays.
- 8 Select one or more types by clicking on the corresponding checkbox(es).
- 9 Click on the **OK** button.
The Progress Notes Detail window displays.
- 10 Click on the drop-down arrow for the **Method of Contact** field and select from the resulting list, if applicable.
- 11 Record the time of the contact in the **Time** field, if applicable.
- 12 Click on the drop-down arrow for the **Location of Contact** field and select from the resulting list, if applicable.
- 13 In the **Family Participant/Focus** field, select the appropriate individual(s) as the Family Participant(s) and/or Focus(es) of the contact by clicking on their respective checkboxes.
- 14 If applicable, select Other Participants or contacts by clicking on the ellipsis (...) button to the right of the **Other Participant** field and clicking on the checkbox(es) to select the appropriate participant(s).
- 15 In the **Purpose** field, click on the ellipsis (...) button.
The Purpose window displays.
- 16 Select one or more purposes by clicking on the corresponding checkbox(es).
- 17 Click on the **OK** button.
The Progress Notes Detail window displays.
- 18 Record the narrative of the progress note in the narrative field.
- 19 Click on the **Save as Draft** or **Save as Final** button.
See “Recording Progress Notes” on page 35 for information about these options. The following message displays: “Changes have been saved.”
- 20 Click on the **OK** button.
The Progress Notes window displays.



If you are recording a progress note related to case supervision you provided to a worker, select the **Supervisor/Managerial Review** in the **Type** field.



The **Method of Contact** and **Location of Contact** fields are not available if a **Type** of “Summary” or “Supervisor/Managerial Review” is selected.

Saving Progress Notes

There are two ways to save a Progress Note: as “Draft” and as “Final.” Each time a note is saved, CONNECTIONS keeps an historical record of when notes are saved and by whom.

Save as Draft Notes can be saved in “Draft” status for up to 15 calendar days from the date of the first save. Modifications can be made only during the Draft period by the Author or Entered By person. As part of the nightly batch update, CONNECTIONS identifies any notes that have been in “Draft” status for 15 calendar days and changes the status to “Final.” When the note is saved in “Draft” status, the newly saved note displays in the search results grid on the *Progress Notes* window and the **Note Status** column populates with “Draft.” When a stage is closed, CONNECTIONS converts any notes in “Draft” status to “Final” status.

Save as Final Progress Notes should be saved as “Final” as soon as possible. To save a note as “Final,” click on the **Save as Final** button. The note can be saved as “Final” at any time during the 15 calendar-day “Draft” period. Notes in “Draft” status are automatically saved as “Final” at the end of the 15 calendar-day period. The **Note Status** column on the *Progress Notes* window populates with “Final.” A note saved as “Final” freezes; modifications can no longer be made to the note. Only an addendum can be appended to the end of the frozen note.



All Progress Notes must be saved as “Final” prior to providing them to any entity that is legally authorized to receive the record (e.g., family court, district attorney).

Modifying Progress Notes

Progress Notes can only be modified while in “Draft” status. In order to modify a note, you must be the Entered By person or the Author. If the **Type** of contact is changed, CONNECTIONS clears all of the worker-recorded data, with the exception of the narrative. If the **Method of Contact** is modified, the system clears all data fields that are inconsistent with the newly-selected method.

Warning messages may display if you attempt to modify Progress Notes, as follows:

Field Modified	Message
Type of Contact	<p><i>“Changing the TYPE will clear all user entered data fields except the Narrative. Continue making changes?”</i></p> <ul style="list-style-type: none"> • Clicking on the Yes button discards the data. • Clicking on the No button retains the data recorded in the fields. <p>In both cases, the <i>Progress Notes Detail</i> window remains open. If the Type is modified, fields that were cleared by CONNECTIONS need to be re-recorded.</p>
Method of Contact	<p><i>“Changing the METHOD may clear the user entered data fields that are inconsistent with the new METHOD selection. Continue making changes?”</i></p> <ul style="list-style-type: none"> • Clicking on the Yes button clears all recorded data fields (except for the Type field, the Method field and the narrative) on the <i>Progress Notes Detail</i> window. • Clicking on the No button retains the data recorded in the fields. <p>In both situations, the <i>Progress Notes Detail</i> window remains open. If the Method of Contact is modified, fields that were cleared by CONNECTIONS need to be re-recorded.</p>



Step-by-Step: Modifying a Progress Note

- 1 See “Accessing a Worker’s *Assigned Workload*” on page 8 to access your worker’s *Assigned Workload*.
- 2 Select the desired FSS stage.
- 3 Click on the **Tasks...** button.
The Family Services Stage displays.
- 4 Click on the **Progress Notes** tab.
The Progress Notes window displays.
- 5 On the *Progress Notes* window, click on the note in “Draft” status to be modified.
- 6 Click on the **Edit Note** button.
The Progress Notes Detail window displays for the selected Progress Note.

- 7 Make the necessary modifications. Once all of the required fields are recorded, click on the **Save as Draft** button.
—OR—
Click on the **Save as Final** button.
The following message displays: “Changes have been saved.”
- 8 Click on the **OK** button.
The Progress Notes window displays.

Adding an Addendum to a Progress Note

To record additional information for notes in “Final” status, addenda are necessary. You may find this functionality useful, since supervisors cannot modify their worker’s notes. In your review of a worker’s documentation, you may find that you need to add additional content to a note recorded by a worker whom you supervise.

Addenda can be added by the Progress Note’s Author, by anyone in the Author’s unit hierarchy and by the Progress Note’s Entered By person. When the Author of a Progress Note is identified as “Other,” a new addendum may be added by the Progress Note’s Entered By person, the assigned worker and anyone in the Entered By person’s unit hierarchy (e.g., supervisor/Unit Approver). A person outside of the unit hierarchy cannot amend a Progress Note when the author is identified as “Other”; a new note must be created.

Person ID	Name	FP	Focus
14300546	Hoover, Beth	<input checked="" type="checkbox"/>	<input type="checkbox"/>
14300547	Hoover, Gabriel	<input type="checkbox"/>	<input type="checkbox"/>
14300548	Hoover, Ted	<input type="checkbox"/>	<input type="checkbox"/>
14300549	Hoover, Kevin	<input type="checkbox"/>	<input type="checkbox"/>



Step-by-Step: Adding an Addendum

- 1 See “Accessing a Worker’s Assigned Workload” on page 8 to access your worker’s Assigned Workload.
- 2 Select the desired FSS stage.
- 3 Click on the **Tasks...** button.
The Family Services Stage displays.

- 4 Click on the **Progress Notes** tab.
The Progress Notes window displays.
- 5 From the *Progress Notes* window, click on a note that is in “Final” status.
- 6 Click on the **Options** menu and select **Add Addendum**.
The Progress Notes Detail window displays for the selected Progress Note. All existing fields and the narrative are “locked” and cannot be modified. The narrative section of the note is stamped with the time and date, as well as the name of the Entered By person.
- 7 Record a narrative.
- 8 Click on the **Save as Final** button.
The following message displays: “Changes have been saved.”
- 9 Click on the **OK** button.
*The Progress Notes window displays. Once an addendum has been added to a Progress Note, the **Addendum** column of the search grid is flagged with a “Y,” indicating an addendum exists for the note. For notes that do not have addenda, the column is flagged with an “N.”*

Generating Reports

The Family Services Intake Report

This report displays the information that was recorded in CONNECTIONS as part of an FSI. This is one way for you to verify that workers are recording the necessary information as part of the FSI process (e.g., Requested Services, Emergency Services, Critical Concerns). Rather than having to navigate through each tab in the FSI, you can simply print out the report for one or more FSI stages.



Step-by-Step: Generating a Family Services Intake Report

- 1 See “Accessing a Worker’s *Assigned Workload*” on page 8 to access your worker’s *Assigned Workload*.
- 2 From the worker’s *Assigned Workload*, select the desired FSI or FSS stage.
- 3 Click on the **Reports** menu and select the **Family Services Intake Report** command.
*The FSI Intake Report displays in the report viewer. To print the report, click on the **Print** button.*
- 4 Click on the **Close** button.
The Assigned Workload displays.

The Family Services Intake Log

The FSI Log enables staff to locate Family Services Intakes. The system returns results that match the search criteria entered. This log lists Intake activity within a specified time period. As a means to monitor worker activity/productivity, you can perform a search of Family Services Intakes that were generated within your agency. You can see if your workers have generated FSIs, for whom FSIs were generated and when they were created.



Step-by-Step: Generating an FSI Log Report

- 1 On the CONNECTIONS Toolbar, click on the **Intake** menu and select the **Family Services Intake Log** command.
The Family Services Intake Log window displays.
- 2 Enter required search criteria, including **Date From** and **Date To**. Enter any other search parameters, if desired, and click on the **Search** button.
You must limit the date range to one month or less. The search results display in the lower half of the window.
- 3 Click on the **Reports** menu and select the **FSI Log Report** command.
The report displays in the report viewer.
- 4 To print the report, click on the **Print** () button.
- 5 Click on the **Close** button to close the report.
The Family Services Intake Log window displays.

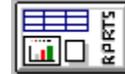
The Family Services Face Sheet

The Family Services Face Sheet provides a quick overview of case, worker and Stage Composition information. This is another way for you to verify that workers are recording the required information and maintaining demographics for all people in the stage.



Step-by-Step: Generating a Family Services Face Sheet from the Assigned Workload

- 1 See "Accessing a Worker's Assigned Workload" on page 8 to access your worker's Assigned Workload.
- 2 From the worker's Assigned Workload, select the FSI or FSS stage.
- 3 Click on the **Reports** menu and select the **Family Services Face Sheet** command.
The following message displays:
"The report has been launched. Check Report List Window."
- 4 Click on the **Close** button.
The Assigned Workload displays.
- 5 Click on the **RPRTS** (Reports) button.
The Report List displays.
- 6 Select the Family Services Face Sheet report.
*Make sure the value in the **Status** column is "DONE." If the status is "PEND" or "RUN" click on the **Refresh** button.*
- 7 Click on the **Open** button.
The Family Services Face Sheet displays in Microsoft Word.
- 8 To print the Family Services Face Sheet, click on the **Print** () button.
—OR—
Click on the **File** menu and select the **Print** command.
- 9 Click on the **File** menu and select the **Close** command.
The Report List displays.
- 10 Click on the **Close** button.
The Assigned Workload displays.



Open Caseload Inquiry (OCI) Report

There are two types of reports available that enable you to check the status of work and assignments for which your staff are responsible: the Open Caseload Inquiry report (for CPS stages) and the Family Services Open Caseload Inquiry report (for FSI and FSS stages).

If you supervise workers who are responsible for CPS Investigations, the Open Caseload Inquiry (OCI) Report lists and identifies the status of all Safety Assessments and Investigation Conclusions that a caseworker needs to complete. The list is organized by case and includes all open cases that have been progressed to the Investigation stage for which the caseworker is the Primary worker. It provides a snapshot of information about a caseworker's *Assigned Workload*, including the total number of open Investigations, cases and overdue 7-day Safety Assessments and Investigation Conclusions. With this report, you can monitor a worker's productivity and timeliness of adhering to regulations or requirements for completing documentation. This can also serve as a reminder to you of what work you need to approve.



Step-by-Step: Generating the OCI Report

- 1 See "Accessing a Worker's *Assigned Workload*" on page 8 to access your worker's *Assigned Workload*.
- 2 Click on the **Reports** menu and select the **OCI by Worker** command.
The following message displays:
"The Report has been launched. Check Report List Window."
- 3 Click on the **OK** button.
- 4 Click on the **RPRTS** button on the CONNECTIONS Toolbar.
The Report List displays.
- 5 Select the OCI Report you just generated.
*Make sure the value in the **Status** column is "DONE." If the status is "PEND," click on the **Refresh** button.*
- 6 Click on the **Open** button.
The report opens as a Microsoft Word document.
- 7 To print the OCI report, click on the **Print** () button.
—OR—
Click on the **File** menu and select the **Print** command.
- 8 Click on the **File** menu and select the **Close** command.
The Report List displays.
- 9 Click on the **Close** button.
The Assigned Workload displays.



The Family Services Open Caseload Inquiry (OCI) Report

Just as the OCI report described in the previous section provides a list of assignment statuses for workers assigned to CPS stages, supervisors of Family Services workers can access a report that enables them to track their workers' assignments. This "real-time" report lists stages assigned to individual workers to include coming-due and overdue FASPs. The report provides you with a quick view of the Family Services Intakes and Family Services Stages assigned to a worker (no information is included regarding CPS stages).



Step-by-Step: Generating the Family Services OCI Report

- 1 See "Accessing a Worker's Assigned Workload" on page 8 to access your worker's *Assigned Workload*.
- 2 Click on the **Reports** menu and select the **Family Services OCI by Worker** command.
The following message displays:
"The Report has been launched. Check Report List Window."
- 3 Click on the **OK** button.
- 4 Click on the **RPRTS** button on the CONNECTIONS Toolbar.
The Report List displays.
- 5 Select the OCI Report you just generated.
*Make sure the value in the **Status** column is "DONE." If the status is "PEND," click on the **Refresh** button.*
- 6 Click on the **Open** button.
The report opens as a Microsoft Word document.
- 7 To print the Family Services OCI report, click on the **Print** () button.
—OR—
Click on the **File** menu and select the **Print** command.
- 8 Click on the **File** menu and select the **Close** command to close the report.
The Report List displays.
- 9 Click on the **Close** button.
The Assigned Workload displays.



Data Warehouse Reports

The OCFS Data Warehouse is a repository of data from CONNECTIONS and CCRS, enabling workers to generate reports based on information recorded in those systems. Reports can be produced at an aggregate level to identify trends or at a more detailed level for operational purposes. Data regarding CPS allegations and investigations, foster care facilities, admissions to foster care, discharges from foster care, and children in foster care can be viewed for a current point-in-time snapshot or historically.

OCFS is developing a set of Data Warehouse Build 18 Reports to provide managers and supervisors with a single, comprehensive set of reports to help meet the basic operational reporting needs of supervisory and managerial staff. The reports, which are generated from the OCFS Data Warehouse, can be easily accessed from any CONNECTIONS computer. The Data Warehouse Build 18 reports focus on the management and operation of case management resources and services, as well as the execution of related roles and responsibilities in delivering services to children and families.

For more information on the OCFS Data Warehouse or to request a Data Warehouse password, e-mail the Data Warehouse Team at data.warehouse@nysemail.state.ny.us. A Job Aid specifically for Build 18 Data Warehouse reports will also be posted to the OCFS CONNECTIONS intranet site.