Unit 2: Referral & Intake

Version 4.3
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# Document Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Release</th>
<th>Description</th>
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<tbody>
<tr>
<td>9/22/2015</td>
<td>4.3</td>
<td>• No changes</td>
</tr>
<tr>
<td>8/26/2015</td>
<td>4.2</td>
<td>• No changes</td>
</tr>
</tbody>
</table>
| 1/7/2015   | 4.01    | • Updated references to public referrals  
• Added definition of ‘status assigned’ to ‘referral reason’ cluster  
• Updated At-Risk referral type names  
• Clarified the definition of ‘Additional Referral’  
• Updated the section for handling a referral where child is found in users Municipality and IC is closed  
• Clarified the types of referrals which generate workflows to EIO/Ds  
• Updated IT Sys Admin roles mentioned to Muni_ProgramUserAdmin  
• Updated status of OTDA checks  
• Added note regarding the ISC accept/reject tasks being seen in users assigned tasks  
• Removed Content relating to submitting a public referral |
| 6/4/2012   | 1.6     | • Updated **Assigning an Initial Service Coordinator** to add information about auto extending the Initial Service Coordination end date.  
• Updated **View Child Referral** screen shots to display newly added Primary Address section. |
| 10/24/2011 | 1.5     | • No changes                                                                                                                                 |
| 6/24/2011  | 1.4     | • Updated User Search screen shots.  
• **Edited** Creating a Municipal Referral section.  
• **Updated** Creating a Re-Referral subtopic. Changed label to Recording an Additional referral.  
• **Replaced** Address Validation screen shots.  
• **Replaced** Child Search and Confirm Child not Already Registered screen shots.  
• **Replaced** Set EIO/D screen shots.  
• **Added information** about **Types of Referrals** in the Unit Overview section.  
• **Updated** Creating a Provider Referral section.  
• **Added** Accepting Initial Service Coordinator Service Authorization section. |
| 3/28/2011  | 1.3     | • No changes                                                                                                                                 |
| 1/31/2011  | 1.2     | • **Edited** Assigning an Initial Service Coordinator section to reflect that the Task to assign the Initial service Coordinator is allocated to the Municipality’s EIO/D work queue,  
• **Edited** Address Validation screen shots and guidance to reflect new required search fields: City, State and Zip.  
• **Edited** Assigning an Early Intervention Official Designee (EIO/D) section to add information about Medicaid CIN data. |
- **Edited** Reserving and Managing a Submitted Referral and Creating a Municipal Referral sections to clarify information regarding referred children who are already registered in the system.

<table>
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<tr>
<th>Date</th>
<th>Version</th>
<th>Details</th>
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| 11/22/2010 | 1.1     | - **Creating a Municipal Referral** section – added revised Confirm Child Not Already Registered screen shot. Noted that Date of Birth is now a required search criteria field. Added information regarding Transfers.  
- **Creating a Municipal Referral** section – removed reference that Referral Date field on Create Referral page defaults to today’s date. Field now defaults to blank.  
- **Reserving and Managing a Submitted Referral** section – added revised Person Search screen shot. Added reference that Date of Birth is now a required search criteria field. Added reference that user should select Child Not Found search result option if a match is not found. |
| 11/2/2010  |         | - Provider Referrals – Referral Date field removed. System auto records referral date based on date referral is submitted.  
- Municipal Referrals – Referral date field can be back dated to reflect actual referral date  
- Municipal Referrals – added reference that the referral date cannot be changed after the referral is registered. |
| 10/1/2010  | 1.0     | - October 2010 NYEIS launch. |
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Referral & Intake

Unit Overview

This unit will cover how a Referral can be submitted and entered. Users will become familiar with the pages used to capture Referral information, workflow and navigation.

There are several ways that a Referral can be made to the Early Intervention Program using NYEIS. Registered Providers can submit Referrals to the Municipality through NYEIS and Municipalities can enter Referrals directly into NYEIS.

There are three types of Referrals:

A. **New Referral**: A new Referral is created when Child has never been registered to the Early Intervention Program using NYEIS.

B. **Additional Referral**: A referral is submitted for a child who already exists in NYEIS with a draft (open) Integrated Case. Additional referrals are informational only; they do not result in new workflows generating for the child’s EIO/D or Service Coordinator.

C. **Re-Referral**: A Re-Referral is created when Child’s Integrated Case Status is ‘Closed’.

In order for the Referral to be submitted, a User is required to enter basic information about the Child such as Name, Date of Birth (DOB) and whether the Child is referred ‘At-Risk’, ‘Failed Initial Hearing Screening’, ‘Confirmed Diagnosed Condition’ or ‘Suspected of Delay’. With informed parental consent, a User may enter additional information such as diagnosis or birth history. NYEIS contains an assurance that parental consent has been obtained.
REFERRAL PAGE REVIEW

The example below is a Provider Referral page. Provider is populated as Primary Referral Source when creating a Provider Referral. In order for a Referral to be submitted, a User is required to enter basic information about the Child such as name, Date of Birth (DOB) and whether the Child is referred ‘At-Risk’, ‘Failed Initial Hearing Screening’, ‘Confirmed Diagnosed Condition’, or ‘Suspected of Delay’. With parental consent, a User may enter additional information such as diagnosis or birth history. NYEIS contains an assurance that parental consent has been obtained.

Create Referral Page
Referral Reason – Captures the names of Primary and Secondary Referral Sources. Select an option in the Status Assigned field drop down. If selecting At Risk or Failed Initial Hearing Screening, refer to Unit 3: At-Risk Children for further information. Referral Source Type is required and should be entered for the Primary Referral Source. Reason for Primary and Secondary Referrals require informed parental consent to enter. Click the checkbox in the Parental Consent section for consent.

Child Information – Asterisk denotes a required field. Race and Ethnicity fields must be completed at Referral. Multiple Races may be selected by holding down the Ctrl button and clicking on your selection. See Managing the Referral, Editing Child Information for further information.

<table>
<thead>
<tr>
<th>Important Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Race and Ethnicity fields are required to be completed by Federal Regulations. The individual collecting the information should make a best guess selection as to the child’s race and ethnicity. The data recorded in NYEIS for race and ethnicity at the time of referral can be changed / edited at a later time if necessary.</td>
</tr>
</tbody>
</table>

Family Information – Information regarding the Family of the Child referred is needed.

Address – Address information of Child being referred.

Phone Number – Phone Number of Child being referred. At least one phone number must be entered in Phone Number of Alternate Contact Person OR in Phone Number field.
Create Referral Page, continued

Parental Consent

Checkbox, if consent has been obtained. Once selected, information in sections outlined below will be saved:

Parental Consent – Check Informed Parental Consent Obtained?

Child Details

- Caregiver’s Name (If Other Than Parent): [ ]
- Caregiver’s Relationship: [ ]
- Child’s Living Arrangement: [ ]
- Child’s School District: [ ]

Communication Exception

- Method: [ ]
- Reason: [ ]

Suspected of Delay Referral Details

- Primary Referral Reason
- Secondary Referral Source Reason
- Cognitive
- Communication
- Social/Emotional
- Physical

Diagnosis (If Known): [ ]

At Risk and Failed Newborn Hearing Screening Referral Details

Place Of Birth

- Birth Hospital (if born in New York): [ ]
- Birth County: [ ]
- Country of Birth: [ ]
- Hospitalization Status At Time of referral: [ ]
- If Not Hospitalized, Discharge Date: [ ]

Primary Care Physician

- POP Name: [ ]
- POP Phone: [ ]

Comments

Transfer from Municipality: [ ]

Primary Referral Reason and/or Secondary Referral Source Reason suspected of delay referral details. If a diagnosis is known, click Search icon next to Diagnosis (if known) field and select applicable EI Eligible (ICD) Diagnosis Code. This information will populate diagnosis information on the Child Homepage and any future Service Authorizations. Click check box next to Transfer from Municipality.
**Unit 2: Referral & Intake**

**Municipality** field if child was transferred from another municipality.

- **At-Risk and Failed Newborn Hearing Screening Referral Details**
- **Place Of Birth**
- **Primary Care Physician**
- **Comments** – Area to add notes/information.

### Important Information

The checkbox in **Parental Consent** section *must* be selected in order to save data entered in the following sections: **Child Details, Communication Exception, Suspected of Delay Referral Details, At-Risk and Failed Newborn Hearing Screening Referral Details, Place of Birth and Primary Care Physician**. This information is not required in order to submit a Referral. However, if the parent consented to share this information, the consent must be in writing and the **Referral source** must maintain documentation of parent consent.

### PROVIDER REFERRALS

There are several ways that a Referral can be made to the Early Intervention Program using NYEIS. Registered Providers can submit Referrals to the Municipality through NYEIS.

There are three types of Referrals:

A. **New Referral**: A new Referral is created when Child has never been registered to the Early Intervention Program using NYEIS.

B. **Additional Referral**: A referral submitted for a child who already exists in NYEIS with a draft (open) Integrated Case. Additional referrals are informational only; they do not result in new workflows generating for the child’s EIO/D or Service Coordinator.

C. **Re-Referral**: A Re-Referral is created when Child’s Integrated Case Status is ‘Closed’.

The system automatically determines the Referral type based on case data and status. A User does not select the Referral type.

In order for a Referral to be submitted, a User is required to enter basic information about the Child such as name, Date of Birth (DOB) and whether the Child is referred ‘At-Risk’, ‘Failed Initial Hearing Screening’, ‘Confirmed Diagnosed Condition’, or ‘Suspected of Delay’. With parental consent, a User may enter additional information such as diagnosis or birth history. NYEIS contains an assurance that parental consent has been obtained.
The Provider’s Register Referral page allows an approved Provider of Early Intervention services to enter details for a Child being referred. Provider may enter Child information, save information and return later to edit information. To submit the Referral to the Municipality, the Provider must submit the request by selecting the Submit button on Referral View page.

Referral View page shows a list of Referrals made by a Provider and allows the Provider to access the Create a Referral page by selecting the New button. In some instances, Provider Users have a My Referrals link on their User Home Page. See Unit 9: Provider Management for further information.

Creating a New Provider Referral

Important Information
The Save button can be selected at any point during data entry. The record will be saved, but not automatically submitted as a Referral to the Municipality. Saving allows data entry to be halted if additional information needs to be collected. The Referral is then accessible from Referrals List page from the Provider’s Home Page. See Unit 9: Provider Management for further information.

2. Click **Create Referral** link under **My Shortcuts**. **Create Referral** page displays.

3. Navigate from field-to-field using Tab key to fill in all known information in **Referral Reason**, **Child Information**, **Family Information**, **Address**, **Phone Number**, **Parental Consent**, **Child Details**, **Communication Exception**, **Suspected of Delay Referral Details**, **At Risk and Failed Newborn Hearing Screening Referral Details**, **Place of Birth**, **Primary Care Physician** and **Comments** sections. **Date fields must be formatted as mm/dd/yyyy format.** Fields requiring data entry are marked with an asterisk. A field can also be required based on logic that will not have an asterisk.

4. Select an option in the Status Assigned field drop down. **If selecting At Risk or Failed Initial Hearing Screening, refer to **Unit 3: At-Risk Children** for further information.**

5. Complete date fields in **Family Information** and **Place of Birth** sections. In the **Family Information** section, you must complete one of the following fields: **Mother First & Last Name, Father First & Last Name or Alternate Parent Contact.**

**Important Information**
The Parental Objection checkbox in the **Family Information** section must be checked. Parental Objection states: **By submitting this referral, I attest that the parent/legal guardian was consulted and she/he did not object to the referral.**
6. Click **Search** icon in **Address** section to confirm address information for the **Primary Address** or **Mailing Address** fields. At least one address must be entered. **Address Validation** page displays.

![Address Validation](image)

7. Use the **Tab** key to move from field-to-field to fill in information. **City, State, County** and **Zip** are required fields. **Census Tract** field will not be used at this time. Click **Submit** button. Validation of address takes place immediately upon submission. The lower section of the page provides a list of available addresses. The first address listed in the results is the address that was manually entered. Select this address if the other addresses do not match from validation process. Click **Select** link under **Action** column. Address displays.

**Important Information**
The checkbox in **Parental Consent** section must be selected in order to save data entered in the following sections: **Child Details, Communication Exception, Suspected of Delay Referral Details, At-Risk and Failed Newborn Hearing Screening Referral Details, Place of Birth and Primary Care Physician.** This information is not required in order to submit a Referral. However, if the parent consented to share this information, the consent must be in writing and the **Referral Source** must maintain documentation of parent consent.

8. Click **Save** button. **Child Referral Completed** page displays with the message, *The child's referral has been successfully saved.* Errors or reasons why a Referral can not be saved display at the top. **Save** does not occur until all errors are corrected.

**Child Referral Completed**
The child's referral has been successfully saved.

[Click here to view and submit the child's referral.](#)
[Click here to refer another child.](#)
9. Select **Click here to view and submit the child's referral** link. **View Child's Referral** page displays. **Select Click here to refer another child** link to add additional Referrals.

10. Review data entered. ☞ See Editing a Saved Referral (a Referral cannot be edited if submitted) for further details on applying changes.

11. Click **Submit** button from **View Child's Referral** page. **Confirm Submission** page displays with the following message, *Are you sure you want to submit this child’s referral?* Click **Yes** button. Referral is submitted to Municipality and cannot be edited.

<table>
<thead>
<tr>
<th><strong>Important Information</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• The System automatically assigns the <strong>Referral Date</strong> as the date that the Provider submits the Referral. The Referral date cannot be changed after the Referral is submitted.</td>
</tr>
<tr>
<td>• The System automatically determines the Referral Type based on case data and status.</td>
</tr>
</tbody>
</table>

**Notes:**

• The System automatically completes **Source of Referral** field data, since this is a Provider Referral page. The **Source of Referral** data will be displayed on **Provider Referral** data entry page after a record is saved.

• At least one Phone Number of a parent, legal guardian or surrogate must be included in Referral record data. Data is entered in either the **Phone Number** section or the **Phone Number of Alternate Contact Person** field under **Family Information** section. A Phone Number may be entered with or without formatting (e.g., 555-1212 or 5551212).

• A Primary Address is **required** in the **Address** section.

• **Comments** section can be completed without **Parental Objection/Consent** field checked.
## Editing a Saved Referral

A Referral with a status of Saved can be edited and saved. However, once a Referral has been submitted, it *cannot* be edited any longer.

1. Display Provider Home Page. **Provider Program Management** page displays.

<table>
<thead>
<tr>
<th>New Task</th>
<th>New Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Provider Program Management</strong></td>
<td>Welcome to the New York Early Intervention System</td>
</tr>
<tr>
<td><strong>My Shortcuts</strong></td>
<td><strong>Search</strong></td>
</tr>
<tr>
<td>Create Referral</td>
<td>Child</td>
</tr>
<tr>
<td>Create Invoice</td>
<td>Service Authorizations</td>
</tr>
<tr>
<td>Submit Invoice</td>
<td>Invoices</td>
</tr>
<tr>
<td>Upload 577 Invoice</td>
<td>Vendors</td>
</tr>
<tr>
<td>Download Response Plan</td>
<td>Provider Claims</td>
</tr>
<tr>
<td>My Provider Homepage</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>My Tasks</th>
<th>My Calendar</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task</td>
<td>Subject</td>
</tr>
</tbody>
</table>
2. Click **My Provider Homepage** link under My **Shortcuts** section. **Provider Home** page displays.

2. Click **Referrals** from the Navigation Bar. **Provider Referrals** page displays.
3. Click View link under the Action column for the Saved Referral to display. View Child's Referral page displays. A Referral cannot be edited after it has been submitted.

4. There are two options for changing information based on the data:

   To make changes to Addresses, Phone Numbers or Communication Exceptions information, click the appropriate option from the Navigation Bar. Apply changes. When complete, the View Child's Referral page displays. See Unit 4: Case Management for further information

   OR

   Click Modify button to edit the other areas of the Referral. Modify Child's Referral page displays.
Apply changes or enter any new information. Click Save button. **View Child’s Referral** page displays.

**Note:**

- To return to **Provider Referrals** page, click Close button on **View Child’s Referral** page.

**Submitting a Saved Provider Referral from Provider Home Page**

1. Display Provider Home Page. **Provider Program Management** page displays.

2. Click **My Provider Homepage** link under **My Shortcuts** section. **Provider Home** page displays.

3. Click **Referrals** from the Navigation Bar. **Provider Referrals** page displays.

4. Click **View** link under **Action** column for Saved Referral to display. **View Child’s Referral** page displays.

5. Click **Submit** button. **Confirm Submission** page displays with message, **Are you sure you want to submit this child’s referral?**
6. Click Yes button. Referrals List page displays. Referral Date displays date of submission. Status for record displays as Submitted.

**Important Information**
Once a Referral has been submitted, it cannot be edited or deleted.

**Municipal Referrals**

Referrals made to the Municipality by phone, fax or forms are directly entered into NYEIS by Municipal staff from their User Home Page.

**Creating a Municipal Referral**

1. Display Municipality Home Page.

2. Click Create Referral link under My Shortcuts. Confirm Child Not Already Registered page displays.
Note:

- If a Municipal staff member is creating a referral in NYEIS from a submitted paper Referral or processing a referral submitted by a Provider in NYEIS, a search must be performed to determine whether the Child is already in the System.

3. Type all known information in Search Criteria section. Date of Birth field information is required to perform the search.

4. Click Search button. Records matching entered Child data display in Search Results cluster. A statewide search of information takes place to determine if the Child’s data is in the System. Examine displayed records to determine whether the specific Child has already been entered in the System.

To view more detailed information for a child displayed in the Search Results cluster, click the Reference Number link in the Action column next to the child’s name. After viewing the child’s record, you can click your browser’s back button to return to the Confirm Child Not Already Registered page with the search results listed.

There are a number of different scenarios that a search can produce. Follow the steps based on your situation.

Child Not Found

The search indicates that the child is not registered in the system. The search results returns no records, or the child records that it does return do not represent the child you need to create a referral for. Click the
Continue button on the Confirm Child Not Already Registered page and proceed to Step 5 below.

Child Found, Registered in Your Municipality, and Child’s Integrated Case Status is in Draft

The search results include a child record that may be the child you are creating a referral for. Click the child’s reference number in the Action column next to the child’s name in the Search Results cluster to display the Child Homepage. Click the Cases link on the navigation menu and open the child’s Integrated Case. Determine if the child’s Integrated Case Status is ‘Draft’ (open). If yes, return to the Child Homepage and click the Referral link on the navigation menu. Click the Create Referral button and record the referral information. When registered, the system will automatically record the Referral as an Additional Referral.

Child Found, Registered in Your Municipality and Child’s Integrated Case Status is Closed or Child found and was referred as ‘At-Risk’ (no integrated case will be seen).

The search results include a child record that may be the child you are creating a referral for. Click the child’s reference number in the Action column next to the child’s name in the Search Results cluster to display the Child Homepage. Click the Cases link on the navigation menu and open the child’s Integrated Case. Determine if the child’s Integrated Case Status is ‘Closed’ or if there is no integrated case listed. If yes to either, return to the Child Homepage and scroll down to the to the At Risk Information cluster.
• If child is At-Risk, click the At-Risk Follow-Up link on the navigation menu to Close At-Risk status and refer into EI. See Unit 3, At-Risk Children, *Closing At-Risk Case* for additional information.

• If child is not At-Risk, click the Referral link on the navigation menu. Click the Create Referral button and record the referral information. When registered, the system will automatically record the Referral as a Re-referral. See Unit 10: Municipal Administration, Re-opening a Closed Case for important additional information about a re-opened case.

**Child Found and Not Registered in Your Municipality**

The search results include a child record that may be the child you are creating a referral for. Click the child’s reference number in the Action column next to the child’s name in the Search Results cluster to display the Child Homepage. If the child’s current record is recorded with a Municipality of Residence different than your county, you will receive the message below.

Click the Close button and contact Child’s Municipality of Residence indicated in the message (Rensselaer County in the example above), and upon confirming this is the correct child, request they initiate a Transfer of the child’s records to your municipality. See Unit 7: Transfers & Transitions for information about the Transfer process.
Important Information

- If the child has moved to your Municipality but the parent/guardian doesn’t consent to transfer the child’s records, the former Municipality is still required to record it in the Transfer page on the child’s Integrated Case Home page and close the child’s Integrated Case. They should note in the Transfer record that the parent objected to the transfer of records. After saving the Transfer record, the system automatically initiates a Close Case workflow requiring the EIO/D to close the child’s Integrated Case. Once closed, the former Municipality alerts the receiving Municipality to proceed with creating a referral.

- After Child’s Integrated Case Status is closed by the former county, the receiving Municipality creates a Referral for the child. This action records a second Child record in the system for the child as well as a second Integrated Case. See Unit 7: Transfers & Transitions for more information about the Transfer process.

5. Create Referral page displays. Note that the system automatically populates any data that was recorded in the previous search in the corresponding fields of the Referral form.

Navigate from field-to-field using Tab key to fill in all known information in Referral Reason, Child Information, Family Information, Address, Phone Number, Parental Consent, Child Details, Communication Exception, Suspected of Delay Referral Details, At Risk and Failed Newborn Hearing Screening Referral Details, Place Of Birth, Primary Care Physician and Comments sections.
Record the **Referral Date** that reflects the date that the referral was received. *Date fields must be formatted as mm/dd/yyyy format. Fields requiring data entry are marked with an asterisk. A field can also be required based on logic that will not have an asterisk.*

6. Click **Search** icon for **Primary Referral Source** field located in **Referral Reason** section. **Referral Source Search** page displays.

Use the **Tab** key to move from field-to-field to fill in information. Click **Search** button. Records matching entered data display in **Search Results** section. Review displayed records to locate Referral Source. Click **Select** under **Action** column for the appropriate Referral Source.

**Important Information**
Avoid additional work by first confirming that the Referral Source is recorded in the system. If a Referral Source is not found when creating the Referral, the User must stop the Create Referral process and register the Referral Source. After the Referral Source is registered, the User can then restart the Create Referral process. **See Unit 10: Municipal Administration** for further steps on registering a Referral Source.
7. Select an option in the Status Assigned field drop down. *If selecting At Risk or Failed Initial Hearing Screening, [See 3: At-Risk Children](#) for further information.*

   **In the Child Information section, record the Referral Date.** This is the Child's Referral Date and should represent the date the referral was made to the Municipality. The Referral Date cannot be changed after the referral is registered.

8. Complete date fields in Family Information and Place of Birth sections. In the Family Information section, you *must* complete one of the following fields: Mother First & Last Name, Father First & Last Name or Alternate Parent Contact.

   **Important Information**
   The Parental Objection checkbox in the Family Information section *must* be checked. Parental Objection states: *By submitting this referral, I attest that the parent/legal guardian was consulted and she/he did not object to the referral.*

9. Click Search icon in Address section to confirm address information for the Primary Address and Mailing Address fields. One address *must* be entered. Address Validation page displays.

   Use the Tab key to move from field-to-field to fill in information. *City, State, County and Zip are required fields. Census Tract field will not be used at this time.* Click Submit button. Validation of address takes place immediately upon submission. The lower section of the page provides a list of available addresses. The first address listed in the results is the address that was manually entered. Select this address if the other addresses do not match.
from validation process. Click **Select** link under **Action** column. Address displays.

### Important Information

The checkbox in **Parental Consent** section *must* be selected in order to save data entered in the following sections: **Child Details**, **Communication Exception**, **Suspected of Delay Referral Details**, **At-Risk and Failed Newborn Hearing Screening Referral Details**, **Place of Birth** and **Primary Care Physician**. This information is not required in order to submit a Referral. However, if the parent consented to share this information, the consent must be in writing and the **Referral Source** must maintain documentation of parent consent.

10. Click **Register** button. **Child Referral Completed** page displays with the following message, *The child referral process has been successfully completed. The child’s reference number is ###.* Errors or reasons why an Application cannot be registered display at the top. Registration does not occur until all errors are corrected.

**Child Referral Completed**

The child referral process has been successfully completed.
The child’s reference number is 30000142

[Click here to open the child home page](#).  
[click here to refer another child](#).

### Important Information

- For referrals entered into the EI program (Suspected of Delay, Confirmed Diagnosed Condition) by Municipal Staff, the system automatically creates a task in the Municipality’s New Case work queue to assign an EIO/D.
- The Child reference number is a unique identifier that stays with the Child through the entire process.
11. Select **Click here to open the child home page** link. **Child Homepage** displays. Select **Click here to refer another child** link to add additional **Referrals**.

**Notes:**

- At least one Phone Number of a parent, legal guardian or alternate *must* be included in Referral record data. Data is entered in either the **Phone Number** section or the **Phone Number of Alternate Contact Person** field under **Family Information** section. A Phone Number may be entered with or without formatting (e.g., 555-1212 or 5551212).

- At least one address is *required* in the **Address** section.

- **Comment** section can be completed without Parental Objection/Consent field checked.

**MANAGING THE REFERRAL**

Referrals received from Providers *must* be reviewed by a Municipal User to identify if the Child exists in the System and already has a record in NYEIS.

If a match is not found, the system treats this as a **New Referral** and continues managing the Referral, searching for and entering the Referral source. If a match is found and the Child’s Integrated Case is in Draft (Open) status, the system treats the referral as an **Additional Referral**. If a match is found and the Child’s Integrated Case is Closed, the system treats the referral as a **Re-Referral**.

If a match is found and the Child record is associated with a different Municipality, the Municipal User must contact the current Municipality to coordinate a Transfer. **See Unit 7: Transfers and Transitions** for further information.
Reserving and Managing a Submitted Referral

The steps below are taken for Referrals that have been created and submitted in NYEIS by a Provider.


2. Click Work Queues from the Navigation Bar. My Work Queues page displays.

3. Click View link under Action column next to the Referral Work Queue. Work Queue Tasks: <Municipality>_Referral page displays with available Referrals.

Important Information

Work Queues are assigned to specific User Roles. User Roles are managed by the NYEIS Program User Admin at your municipality. If you do not have the work queues required for your job responsibilities, contact your NYEIS Program User Admin to discuss changing your user role. See Appendix I: Work Queues by Role for information about work queues that are assigned to a user role.
4. Click Reserve link under Action column for desired task. Reserve Task page displays.

5. Type Comment (Optional).

6. Click Reserve button to reserve task and return to Work Queue Tasks page displays. Proceed to Step 7.

OR

Click Reserve & View button to display Task Home page. Proceed to Step 9.

7. Click Reserved Tasks in the Navigation Bar. Reserved Tasks page displays with task.

8. Click View link under Action column to display task. Task Home page displays.
9. Click **Manage Submitted Referral** link in the **Primary Action** section. **Manage Child’s Referral** page displays.

![Manage Child’s Referral page](image)

10. Click **Search** icon to the right of **Existing Child** field in the **ReReferral Information** cluster. **Person Search** page displays. A Child must be searched for prior to adding the Child into NYEIS to ensure there are no duplicates are added into the System. For Referrals that were entered by a Municipality, the Child search has already been completed.

![Person Search page](image)

11. Type all known Child data in **Search Criteria** section. **Date of Birth** field information is required to perform the search. Click **Search** button. Results are displayed in the **Search Results** cluster.
12. If a potential match or matches are found, the User clicks the Select link in the Action column next to the name of the corresponding child that the Referral was created for. The name of the child is inserted in the Existing Child field of the Manage Child’s Referral page.

There are a number of different scenarios that a search can produce. Follow the steps based on your situation.

**Child Not Found**
If no matches are found, or the search results do not display the child that the Referral was created for, the User selects the search result labeled Child Not Found. Child Not Found is inserted in the Existing Child field of the Manage Child’s Referral page. Click the Accept Referral button.

**Child Found, Registered in Your Municipality, and Child’s Integrated Case Status is in Draft (Open)**

The Child already exists in the System, the child’s Municipality of Residence is your county, and their Integrated Case is open (i.e., IC Status = Draft). The User clicks the Select link next to the child’s name on the Search Results page. The child’s name is inserted in the Referral form’s Existing Child field. User selects Accept Referral button. The Accepted referral is recorded by the system as an Additional Referral.
Child Found, Registered in Your Municipality, and Child’s Integrated Case Status is Closed

The Child already exists in the System, the child’s **Municipality of Residence** is your county, and their Integrated Case is closed (i.e., IC Status = Closed). The User clicks the **Select** link next to the child’s name on the Search Results page. The child’s name is inserted in the Referral form’s **Existing Child** field. User selects **Accept Referral** button. The Accepted referral is recorded by the system as a **Re-referral**. The System also creates a Task in the Municipality’s **New Case Work Queue** in order for an EIO/D to be assigned.

The System resets the **Integrated Case Status** field to Draft and the **Child’s Latest Referral Date** field to the date of the referral date. In addition, the system also resets the EIO/D and Service Coordinator User Role assignments to **To Be Assigned**. See Unit 10: Municipal Administration, Re-Opening a Closed Case for important additional information about re-opening a case.

**Notes:**

- To stop action and return to **Work Queue Tasks** page, click **Cancel** button from the **Reserve Task** page.

- To leave task open and continue managing at a later date, click **Pend** from **Referral** page.

- Reserved Tasks display in the **My Tasks** section of the User Home page.
Assigning an Early Intervention Official Designee (EIO/D)

After a Referral has been accepted, a Case Supervisor (EIO/D) needs to be assigned. Only Users with appropriate roles and access rights are able to assign an EIO/D to a Case.


2. Click Work Queues from the Navigation Bar to work with new Referrals. My Work Queues page displays.

3. Click View link under Action column for the appropriate Referral queue. Work Queue Tasks page displays with available Referrals.
4. Click **Reserve** link under **Action** column for desired task. **Reserve Task** page displays.

![Reserve Task](image)

5. Type **Comment** *(Optional).*

6. Click **Reserve** button to reserve task and return to **Work Queue Tasks** page. Proceed to **Step 7**.

OR

Click **Reserve & View** button to display **Task Home** page. Proceed to **Step 9**.

![Task Home](image)

7. Click **Inbox** from the Navigation Bar on Home Page. **My Workspace** page displays.

8. Click **Reserved Task** in the Navigation Bar. **Reserved Tasks** page displays with task.

9. Click **View** link under **Action** column to display task. **Task Home** page displays.
10. Click **Assign EIO/D for child Child Name** link in the **Primary Action** section. **Assign EIO/D** page displays.

![Assign EIO/D](image)

11. Click **Search** icon for **New EIO/D** field. **User Search** page displays.

![User Search](image)

12. Type all known information in **Search Criteria** section.

13. Click **Search** button. Records matching display in **Search Results** section.  
   *To search again, click Reset button.*

14. Click **Select** link under **Action** column for an Individual to assign to the Case. **Assign EIO/D** page displays with selected Case Supervisor (EIO/D).

15. Type **Comments (Optional).**

16. Click **Save** button to attach the Individual to Case. **My Workspace** page displays.

**Notes:**

- During the workflow, when the User assigns the EIO/D, the system creates the child’s Integrated Case folder.
• After the EIO/D has been assigned and the child’s Integrated Case is opened, the system automatically searches the Office of Temporary Assistance (OTDA) Welfare Management System database to determine if child has a Medicaid CIN. If the search determines the child has a CIN, it sends the CIN results to the EIO/D’s Assigned Tasks as a task to manage. See Unit 10: Municipal Administration, Creating Child Medicaid Coverage for further information.

| Important Note: This feature is not currently active |

• To change the Case Supervisor (EIO/D), display the Integrated Case Home Page and click User Roles from the Navigation Bar. See Unit 4: Case Management, User Roles for further information.

Assigning an Initial Service Coordinator

Any user with access to the Municipality’s EIO/D Work Queue can designate the Child’s Initial Service Coordinator (ISC). The Initial Service Coordination assignment is effective as of the date of the Child’s referral and terminates 45 days from the effective date.

| Important Information |
| If the Ongoing Service Coordination Service Authorization has not been created and approved by the 45th day, the system will automatically extend the Initial Service Coordination Service Authorization end date by 30 days. Once the Ongoing Service Coordination SA is approved, the system determines if the Initial Service Coordination is Active. If it is, and the ISC SA end date overlaps the OSC SA effective date, the system end-dates the ISC SA to the day before the OSC SA effective date. |
1. Click **Work Queues** from the Navigation Bar. My Work Queues page displays.

<table>
<thead>
<tr>
<th>Action</th>
<th>Name</th>
<th>Subscription Date</th>
<th># of Tasks</th>
</tr>
</thead>
<tbody>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>1/2/2011 11:26</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>1/2/2011 11:27</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>1/2/2011 11:26</td>
<td>10</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>3</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>2</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>1</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>3/17/2011 15:10</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>3</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>1</td>
</tr>
<tr>
<td>View</td>
<td>Reserve Next Task</td>
<td>9/28/2010 16:14</td>
<td>0</td>
</tr>
</tbody>
</table>

2. Click **View** in Action column of the row where the <Municipality name>_EIO/D is listed. The **Work Queue Tasks: <Municipality name>_EIO/D** page displays.

<table>
<thead>
<tr>
<th>Task ID</th>
<th>Subject</th>
<th>Priority</th>
<th>Status</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>95096</td>
<td>A transfer request for Perry Platypus from Renssealer to Renssealer has been requested.</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
<tr>
<td>102131</td>
<td>Assign Initial Service Coordinator for Child: Tina Never A transfer request for Gina Smith from Renssealer to Renssealer has been requested.</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
<tr>
<td>50094</td>
<td>Renssealer to Renssealer has been requested.</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
<tr>
<td>110949</td>
<td>Assign Initial Service Coordinator for Child: Madye Reject</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
<tr>
<td>102271</td>
<td>Assign Initial Service Coordinator for Child: Flo Fee</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
<tr>
<td>124160</td>
<td>Paragin Task is no longer approved by DH effective 2010-12-26 and is currently assigned as the rendering provider on the attached SAs. Please reassign the rendering provider for these SAs.</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
<tr>
<td>110947</td>
<td>Assign Initial Service Coordinator for Child: Madye Test</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
<tr>
<td>110555</td>
<td>Assign Initial Service Coordinator for Child: referral testing</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
<tr>
<td>122904</td>
<td>Paragin Task is no longer approved by DH effective 2010-12-23 and is currently assigned as the rendering provider on the attached SAs. Please reassign the rendering provider for these SAs.</td>
<td>Medium</td>
<td>Open</td>
<td></td>
</tr>
</tbody>
</table>
3. Locate the Task to assign the Service Coordinator for the child you are working on. Click **Reserve** link under **Action** column for desired task. **Reserve Task** page displays.

![Reserve Task](image)

Type **Comment** *(Optional).*

4. Click **Reserve** button to reserve task and return to **Assigned Tasks** page. Proceed to **Step 6**.

OR

Click **Reserve & View** button to display **Task Home** page. Proceed to **Step 8**.

5. Click **Reserved Task** in the Navigation Bar. **Reserved Tasks** page displays with task.

6. Click **View** link under **Action** column to display task. **Task Home** page displays.

![Task Home](image)
7. Click **Assign Initial Service Coordinator** link in **Primary Action** section. **Select Provider & Location** page displays. This Search is for the agency Provider or Municipality that provides Service Coordination services, not for the individual Service Coordinator. One the next page the EIO/D has the opportunity to select the individual Service Coordinator (not required).

8. Type all known information in **Search Criteria** section. **All search fields may not be applicable.**

9. Click **Search** button. Records matching display in **Search Results** section. *To search again, click Reset button.*

10. Click **Select** link under **Action** column to choose the agency that will provide the Service Coordination. **Assign Initial Service Coordinator** page displays with the following sections: **Initial Service Coordinator, Service Coordination Details** and **Comments.**

11. To assign a Service Coordinator, click **Search** icon for **Name** field located in **Initial Service Coordinator** section. The **Service Coordinator Search** page displays with the names of available agency Service Coordinators and their current caseload. If the name of a desired Coordinator is not listed, click the **Show Criteria Button**, enter more specific search criteria, and click the **Search** button.
Click **Select** link under **Action** column to choose the Service Coordinator that will be assigned to the Case. The **Assign Initial Service Coordinator** screen displays.

12. Enter the total number of 15-minute units of service coordination authorized for the period up to the anticipated date of the initial IFSP meeting, type **Number of Units**.

13. Type **Comments (Optional)**.

14. Click **Save** button to assign the Service Coordinator to the Child. **Integrated Case Home** page displays. An Integrated Case is a central location where the Child's information is managed. 
   
   See **Unit 4: Case Management** for further information.

**Notes:**

- The **Initial Service Coordination** assignment is effective as of the date of the Child’s referral and terminates 45 days from the effective date.

- If the Ongoing Service Coordinator Service Authorization has not been created and approved by the 45th day, the system will automatically extend the Initial Service Coordination Service Authorization end date by 30 days. Once the Ongoing Service Coordination SA is approved, the system determines if the Initial Service Coordination is Active. If it is, and the ISC SA end date overlaps the OSC SA effective date, the system end-dates the ISC SA to the day before the OSC SA effective date.

**Accepting the Initial Service Coordinator Service Authorization**

When the Initial Service Coordinator is assigned to a Municipal staff person, the System automatically creates a Task for the Municipality to Accept/Reject the Service Coordination assignment. The Task must be actioned in order for the county to claim for the Service Coordination service. The task is created in the Municipality’s Service Authorizations work queue.

The Municipality /Agency will receive an Accept/Reject Service Authorization task in their Service Authorization work queue. (In the event that the accept/reject task is not found in the muni’s SA work queue, the Service Coordinator can check their assigned tasks to see if the task was delivered there).
The Municipality/Agency may accept the Service Authorization with previously selected Service Coordinator by clicking the ‘Use Currently Assigned Service Coordinator’. If one was not previously selected; the Municipality/Agency may assign a new Service Coordinator or they may reject the Service Authorization.

If the Service Authorization is rejected, a Task with the subject Provider <Name> has rejected the assignment of Service Authorization <number> for <child’s name> is created in the EIO/D’s Assigned Task Inbox.

The EIO/D opens the Task and clicks the Service Authorization Home Page link in the Primary Action cluster. See Unit 1: Getting Started, Working with Tasks for further information.
The Service Authorization Home page displays. The EIO/D clicks the Change/Assign Service Coordination Provider button to select an Agency Provider and corresponding Service Coordinator to assign to the child.
Editing Child Information

Only certain individuals authorized by their role will be able to edit information regarding the Child and family. A history is retained of information adjusted as well as the name of the individual who edited the details.

1. **Click Search** from Menu Bar of Home Page. *Child Search* page displays.

2. **Type all known Child data in Search Criteria section.**

3. **Click Search button.** Records matching display in Search Results section. *To search again, click Reset button.*

4. **Click Reference Number link for Child.** *Child Homepage* displays with read-only data.

5. **Click Edit button.** *Modify Child* page displays.
6. Apply necessary changes.

7. Click Save button. Child Homepage displays.

Note:

- To display any demographic data changes made to the Child, click Demographic Data Change History in the Navigation Bar. See Unit 4: Case Management for further information.

**RECORDING AN ADDITIONAL REFERRAL**

A Referral registered or accepted for a child whose Integrated Case is in Draft (Open) status is known as an Additional Referral. A Municipal User can record a Referral for a child known to exist in the system and have an open Integrated Case using the Create Referral feature on the Child’s Referral page.

2. Type all known Child data in **Search Criteria** section.

3. Click **Search** button. Records matching display in **Search Results** section. *To search again, click Reset button.*

4. Click **Reference Number** link for Child. **Child Homepage** displays.

5. Click **Referrals** from the Navigation Bar. **Referrals** page displays.

6. Click **Create Referral** button. **Enter Referral** page displays. **Fields** requiring data entry are marked with an asterisk. A field can also be required based on logic that will not have an asterisk.
7. Navigate from field-to-field using Tab key. See Creating a New Municipal Referral for further information.

8. Click Register button. A page displays indicating that the referral has been successfully completed.

9. The child’s Referral page displays the added referral with a Referral Type of Additional Referral.

```
Note:

- To stop action and return to the Referrals page, click Cancel button from Enter Referral page.
```

**RECORDING A RE-REFERAL**

A Re-referral is defined as a referral that is registered on a closed Integrated Case (child is not “In Progress”). The system automatically records a Referral as a Re-referral. See Unit 10: Municipal Administration, Re-opening a Closed Case for further information.

**REGISTERING A SIBLING**

If a sibling of a Child already in the System is referred, demographic data will be automatically copied into the record for the new Child. The two records are linked together eliminating duplicate data entry.


2. Type all known Child data in Search Criteria section.
3. Click **Search** button. Records matching display in **Search Results** section. *To search again, click **Reset** button.*

4. Click **Reference Number** link for Child. **Child Homepage** displays.

5. Click **Register Sibling** button. **Create Sibling Referral** page displays with associated data.
6. Enter new information for Sibling. Click **Register** button. **Child Referral Completed** page displays.

### Child Referral Completed

The child referral process has been successfully completed.  
The child's reference number is 30000068

[Click here to open the child home page.](#)  
[Click here to refer another child.](#)

---

**Important Information**

The Child reference number is a unique identifier that stays with the Child through the entire process.

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7. Click the [Click here to open the child home page](#) link. **Child Homepage** displays.

**Note:**

- Registering a sibling from the **Register Sibling** will automatically create a **Relationship** with the sibling which can be viewed from the **Relationships** link off the Child’s HomePage.  
  [See Unit 4: Case Management](#) for further information on **Relationships**.