Disability Support Services

MINISTRY OF SOCIAL DEVELOPMENT
TE MANATŪ WHAKAHIATO ORA

# Socrates v2 General User Guide

## Version 5

**November 2026**

## Document Control

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**Owner:** Alex Tierney

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# Socrates v2— General User Guide

*Role-based guide for creating assessments and funding plans*

**Read first:**
Socrates v2— Getting Started. This guide then takes you through the Assessor and Allocator procedures. Existing Socrates v2instruction wording has been retained; content has been regrouped for readability.

# 1 Creating a Disabled Person Profile on Socrates v2

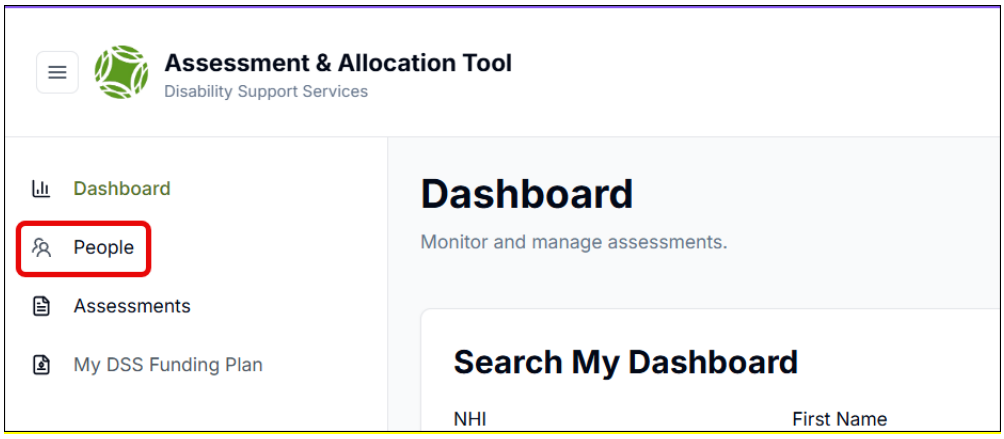
## 1.1 People Section

The *People* section in Socrates v2 allows users to create a profile for the Disabled Person before starting an assessment. All assessments for this person will be launched from and linked to the same profile.

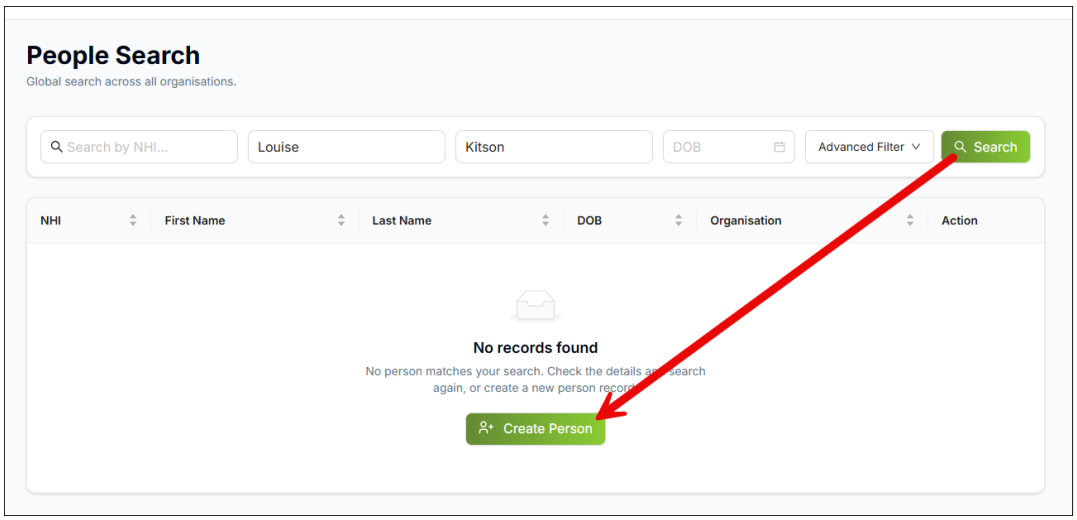
## 1.2 Creating a Profile

To add a new Disabled Person profile to Socrates v2:

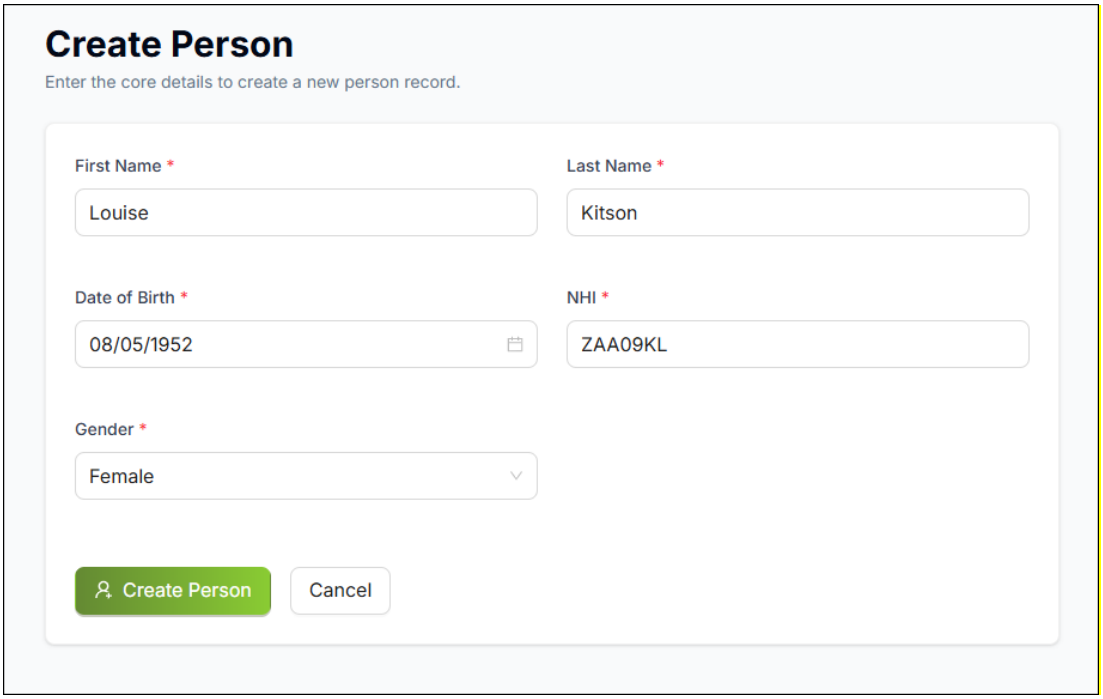
1. Open the *People* section by clicking **People** in the left-hand menu:



The search covers all organisations, not just your own. You can search by NHI, First Name, Last Name and Date of Birth, or a combination of these. Results show the NHI, First Name, Last Name, Date of Birth and Organisation of each person, and you can sort them by clicking a column header or filter them by organisation. If no record matches your search, a **No records found** message appears, along with the **Create Person** button. You can only open a person record that is linked to your organisation:



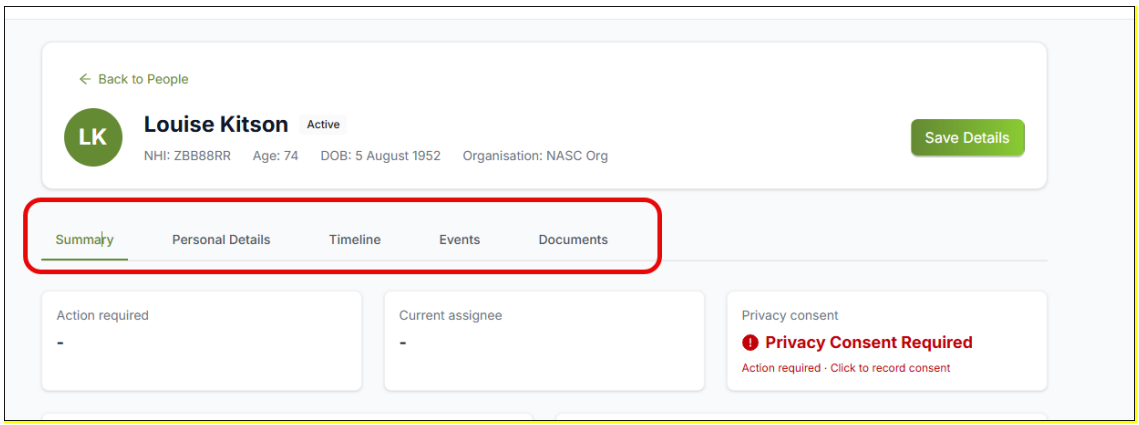

2. On the next screen, enter their basic information and click **Create Person**:




First Name, Last Name, Date of Birth, NHI and Gender are all required. If a profile with the same NHI already exists, you will see the alert “A person record exists with this ‘NHI’ at ‘Organisation’” and a new profile won’t be created.

3. This will create and open a profile for the Disabled Person. In order to complete their profile, the user can enter information in the following sections (mandatory fields are identified by a red asterisk next to them):

- Summary
- Personal Details
- Timeline
- Events
- Documents




A new profile opens with the Personal Details tab in Edit mode, so you can carry on entering their details straight away.

### 1.2.1 Summary

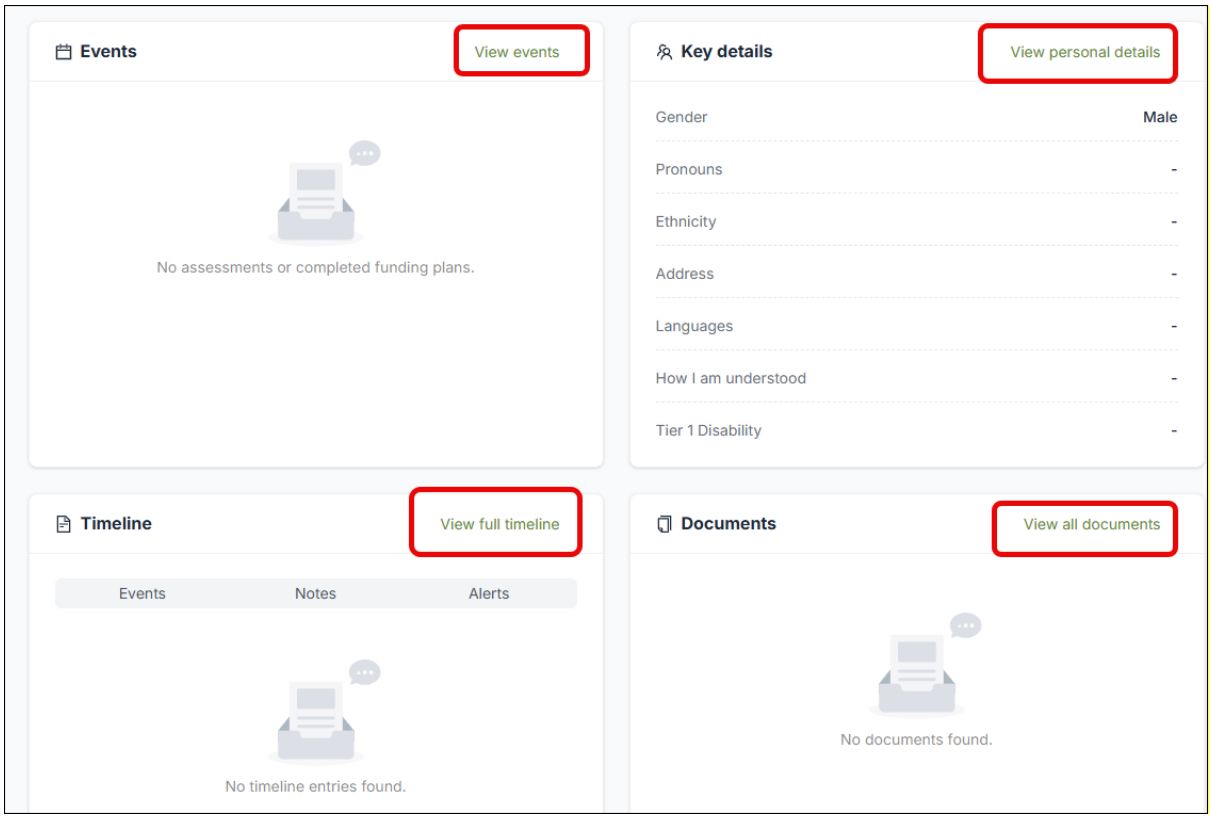
The summary screen displays high-level information regarding the Disabled Person and their funding plan. From here you can:

1. See the next **Action Required** for the Disabled Person's assessment and funding plan. This refers to the stage the assessment is at, e.g. *Confirm Indicative Range*

2. See the **Current Assignee**, i.e. the user the assessment is currently assigned to

3. Record consent from the Disabled Person (or their authorized representative). See Recording Consent for more details

4. View events, the Disabled Person's key details, the Timeline of their assessment, and any documents uploaded to their profile. For Events and Timeline, the *Summary* screen displays the three most recent records. You can click the *View* links for each to view the respective full sections:



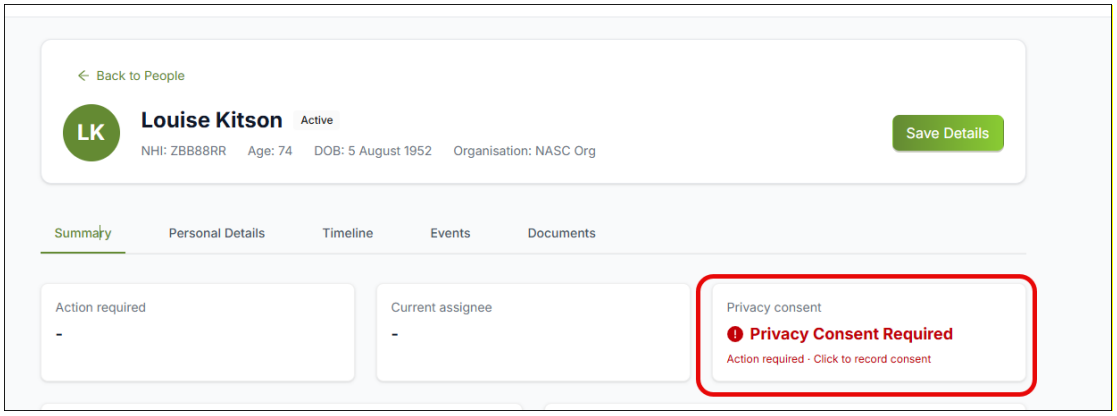

5. Use the toggle on the Timeline tile to switch between Notes and Events. Pinned Timeline entries and pinned documents are shown on the Summary screen in place of the most recent ones.

### 1.2.1.1 Recording Consent

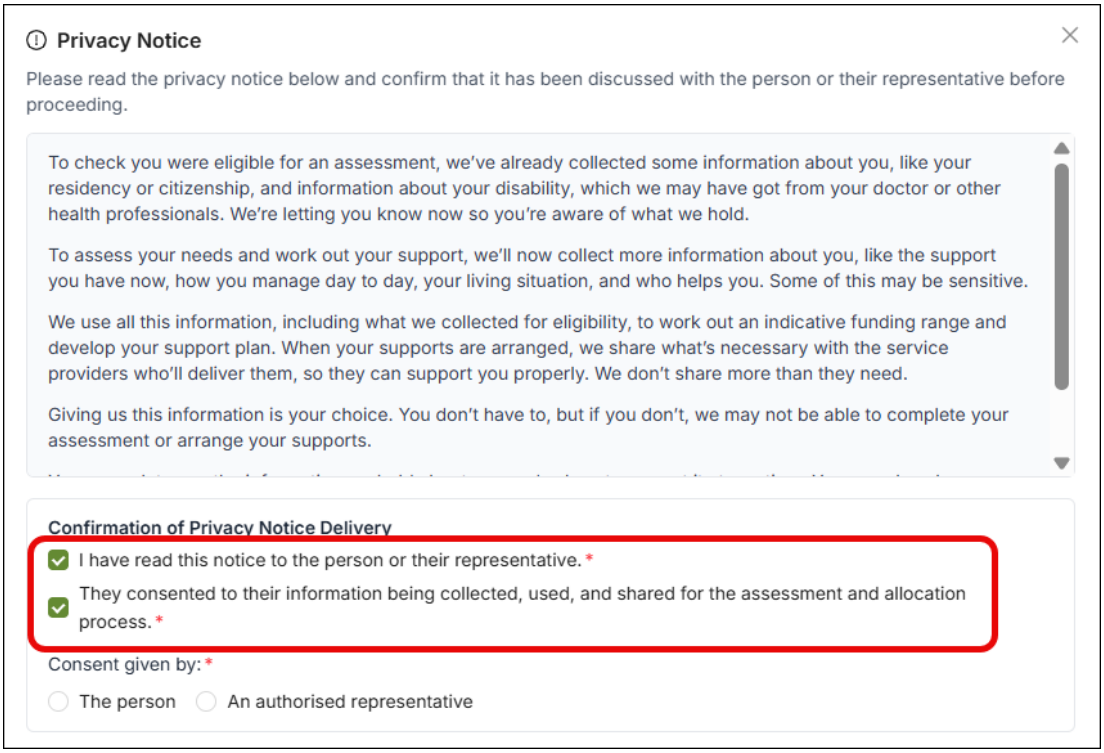
To record the Disabled Person's (or authorised representative's) consent:

1. Open the *Summary* screen of their profile

2. You will see the consent tile highlighted in red to show that consent hasn't been recorded yet:




3. Click on the tile and a privacy notice will open, which you should read/show to the Disabled Person or their representative. Once they have read it and given their consent, mark the appropriate checkboxes:



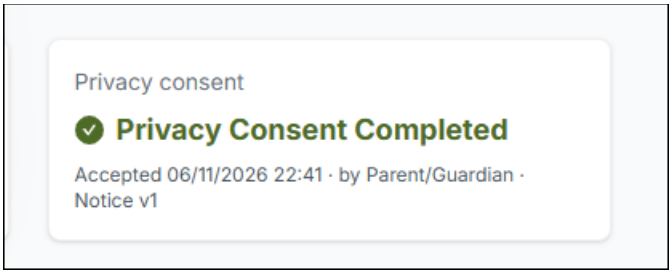
4. Next mark whether the Disabled Person themselves gave consent, or whether it was an authorised representative. If it was the person themselves, you need to then select the type of consent (verbal or written) and the person who gave it:




5. If it was an authorised representative, you need to manually type in the type of representative it was:




6. Click **Confirm and Continue** and the consent tile will update to show consent has been recorded:




**Important Note:** If consent needs to be changed or withdrawn, you can edit or deselect the privacy consent on the Core Info tab of their Personal Details.

### 1.2.2 Personal Details

**Important Note:** No other Personal Details information is required to be entered in the profile. Completing these fields in Personal Details is optional. Legacy Socrates/CRM's remain the source of truth of all personal information, until further notice.

The Personal Details screen is broken down into seven sub tabs:

- Core Info (Name, basic demographic information, a summary of the disabled person, and a form for capturing consent)
- Address Info
- Contacts (the Disabled Person's contact details, preferred languages, whether they consent to be contacted, and their engagement notes)
- Disability and Eligibility (the Disabled Person's disability, their residential status, and Community Services Card details)
- Dependants and Carers (any dependents or carers the Disabled Person has)
- Other funders (details of other entities funding the Disabled Person's care, as well as deinstitutionalization details)
- System Info (details on the organisation the Disabled Person is linked to, as well as their NHI)

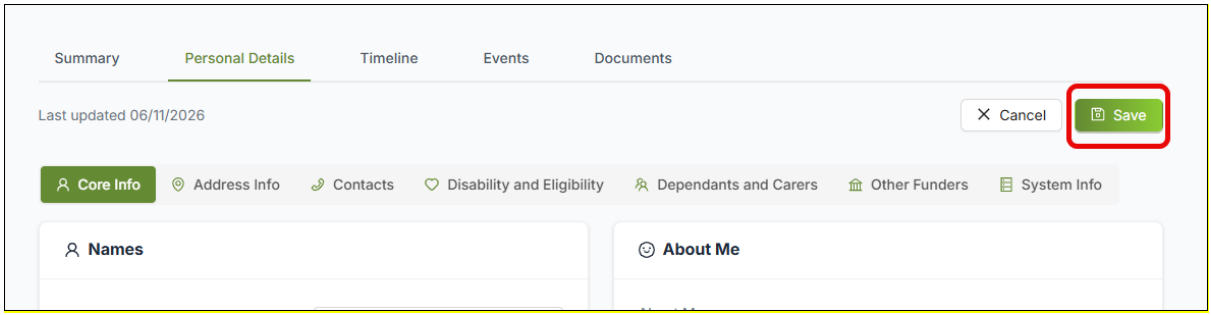



#### 1.2.2.1 Core Info

In the *Core Info* section, you can enter details on the Disabled Person's name, including their preferred name; details about their demographics, and consent details. In the *About Me* field, you can type in a brief introduction to the person, including their interests, preferences and what matters most to them.

If a preferred name is recorded, the Disabled Person's name is displayed as (Preferred Name) First Name Last Name.

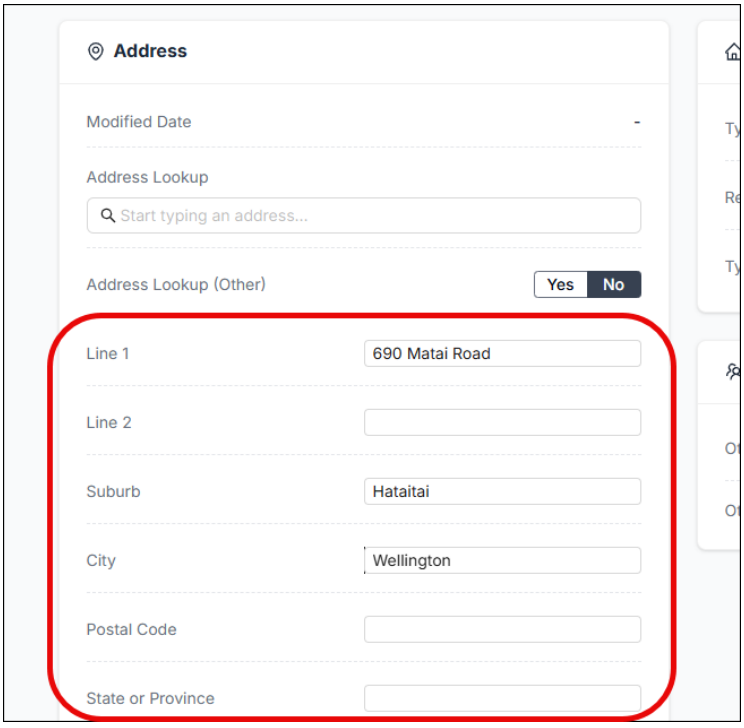
To save the information you enter, click **Save**:



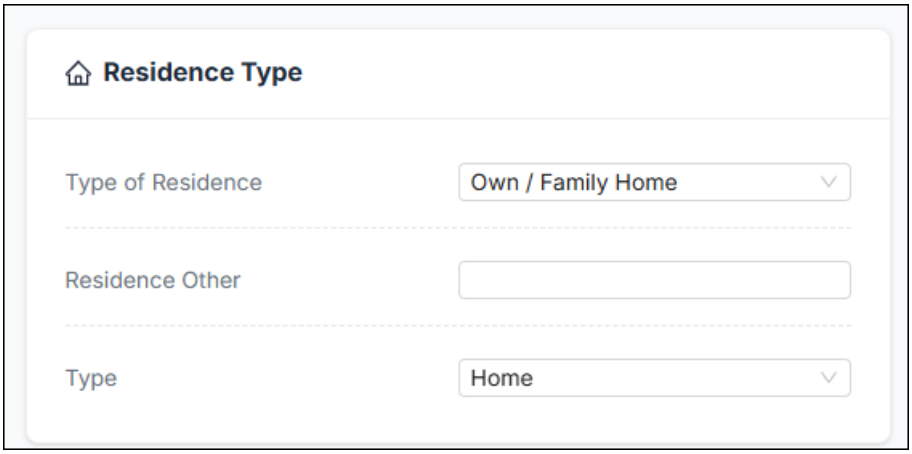

If you change the Disabled Person's Name, or their NHI on the *System Info* tab, you will be asked to give a reason before the change is saved. All changes to personal details are recorded in the profile's audit history, with the user's name and the date and time of the change.

### 1.2.2.2 Address Info

Under the Address Info tab you can record the Disabled Person's address. Currently, the lookup function is not integrated, so you should manually enter the address line by line in the respective fields:



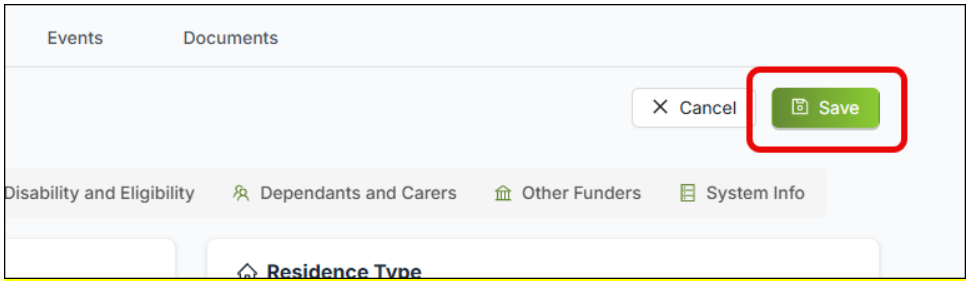
You can also specify the residence type, whether it is a family home, community residential home, etc:




And you can record whether other people are living in the house with the Disabled Person:

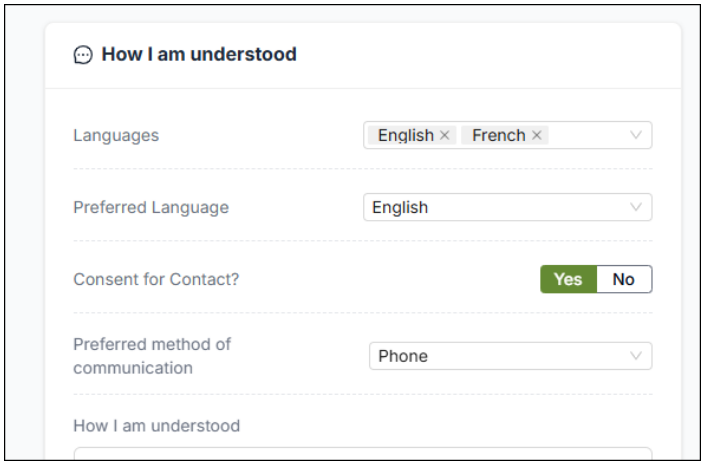



Click **Save** to save the information you have entered:

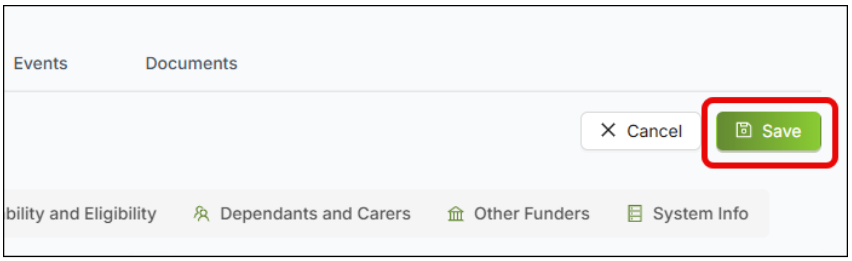


### 1.2.2.3 Contacts

In the Contacts section, you can record the languages the Disabled Person speaks, as well as their preferred language; what their preferred contact method is, whether they have given consent to be contacted, and their contact details:



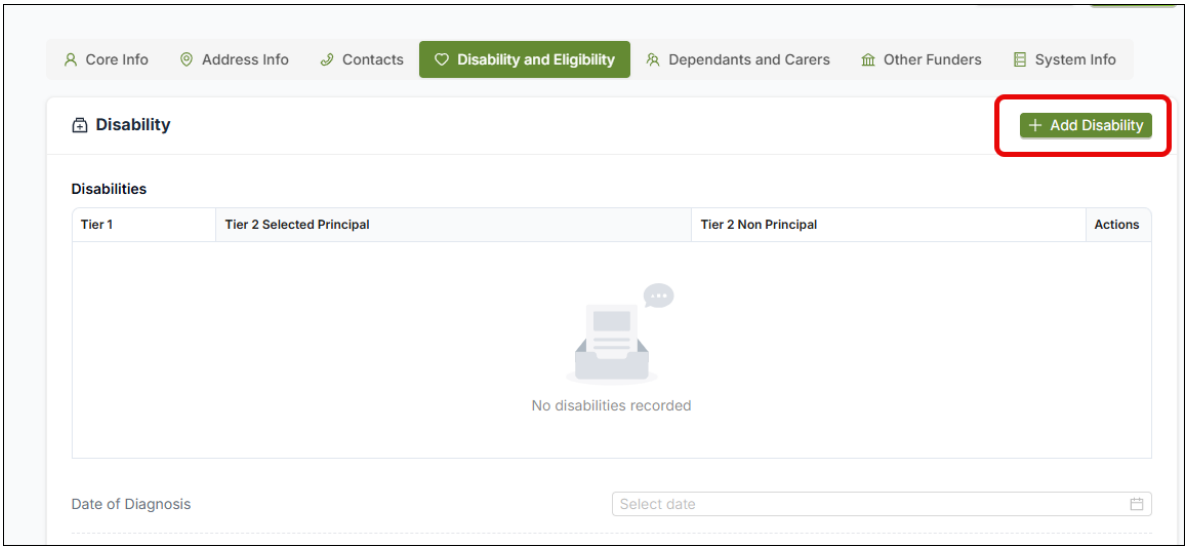

Click **Save** to save the information you have entered:



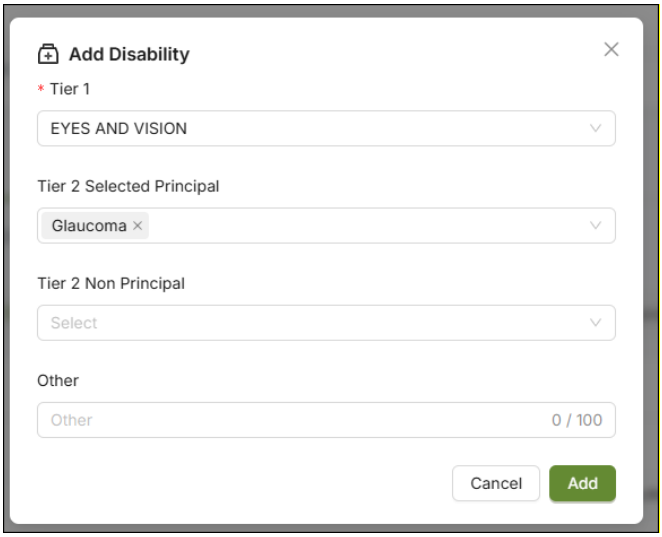

### 1.2.2.4 Disability and Eligibility

#### 1.2.2.4.1 Recording a Disability

In the Disability and Eligibility section, you can record details of the person's disability by clicking **Add Disability**:



In the pop up, select the Tier 1 disability, Tier 2 Principal, and Tier 2 Non-Principal if applicable, and click **Add** to add these details:

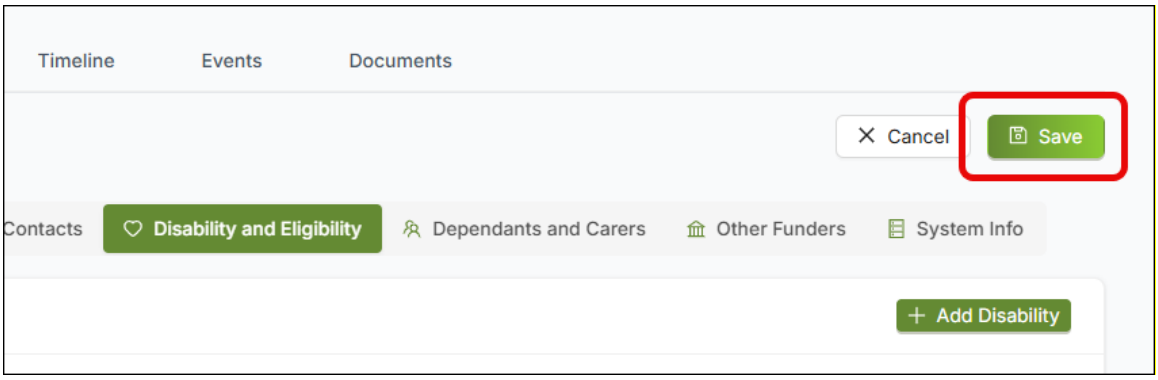



The disability will be added to the grid. You can edit or delete it using the respective icons in the *Actions* column:



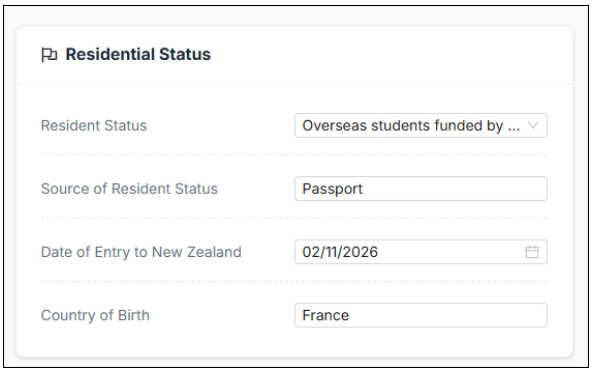

You can also add more disabilities by repeating the same steps.

To save your information, click **Save**:



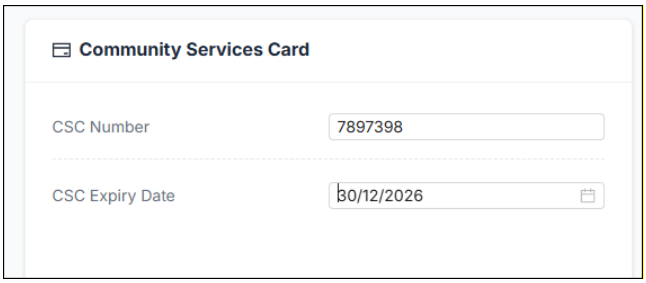
#### 1.2.2.4.2 Residential Status

You can enter details regarding the Disabled Person's residential status in the *Disability and Eligibility* screen:




#### 1.2.2.4.3 Community Services Card

You can record the Disabled Person's community services card information in the *Disability and Eligibility* screen:

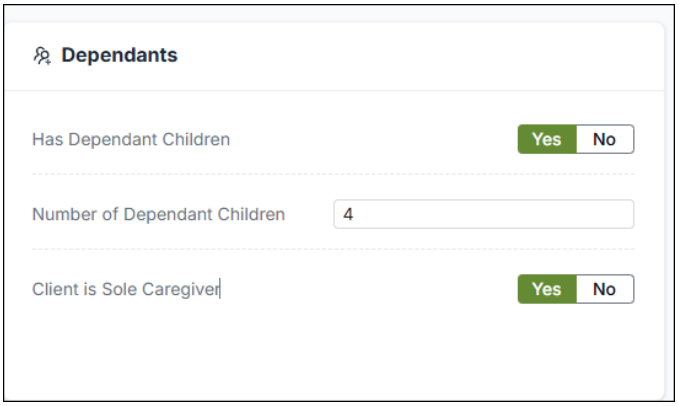



### 1.2.2.5 Dependants and Carers

To record details regarding the Disabled Person's dependants and carers, click the *Dependants and Carers* tab.

Here you can record:

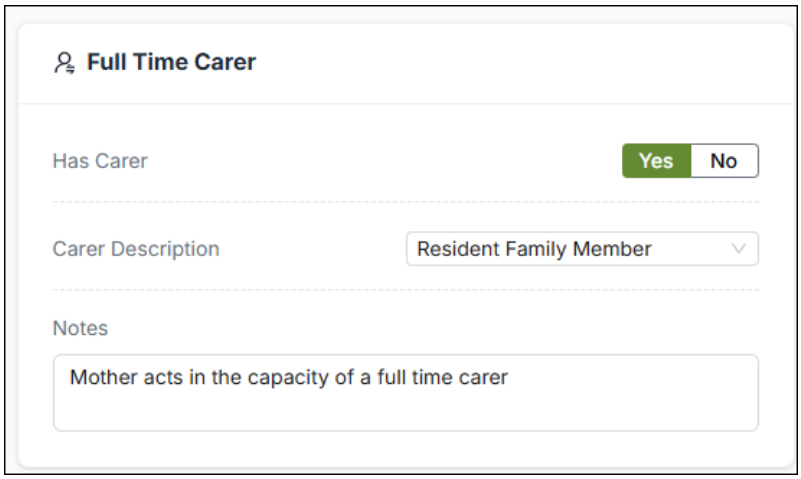
1. Whether the Disabled Person has any dependants, and if so how many, and whether they are the sole caregiver to those dependants:



2. Whether the Disabled Person has a young carer, and if so the age of that carer:



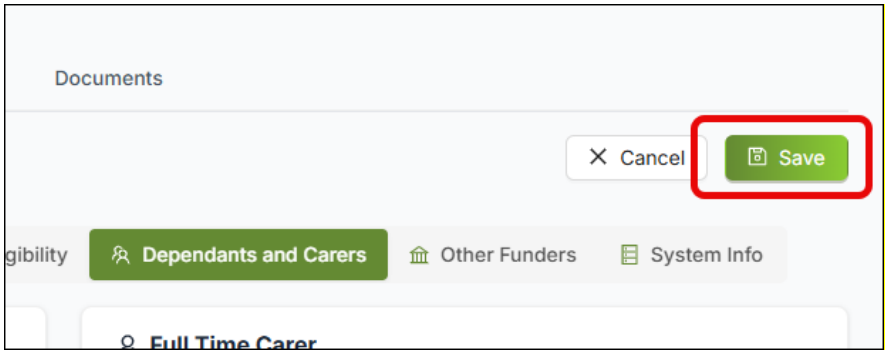

3. Whether the Disabled Person has a full-time carer, and if so you can add a description and some notes regarding that carer:




4. Whether the Disabled Person is eligible for funded family care, and if not the reason for their ineligibility. If an exception has been applied, the reason for this, and the overall decision date:

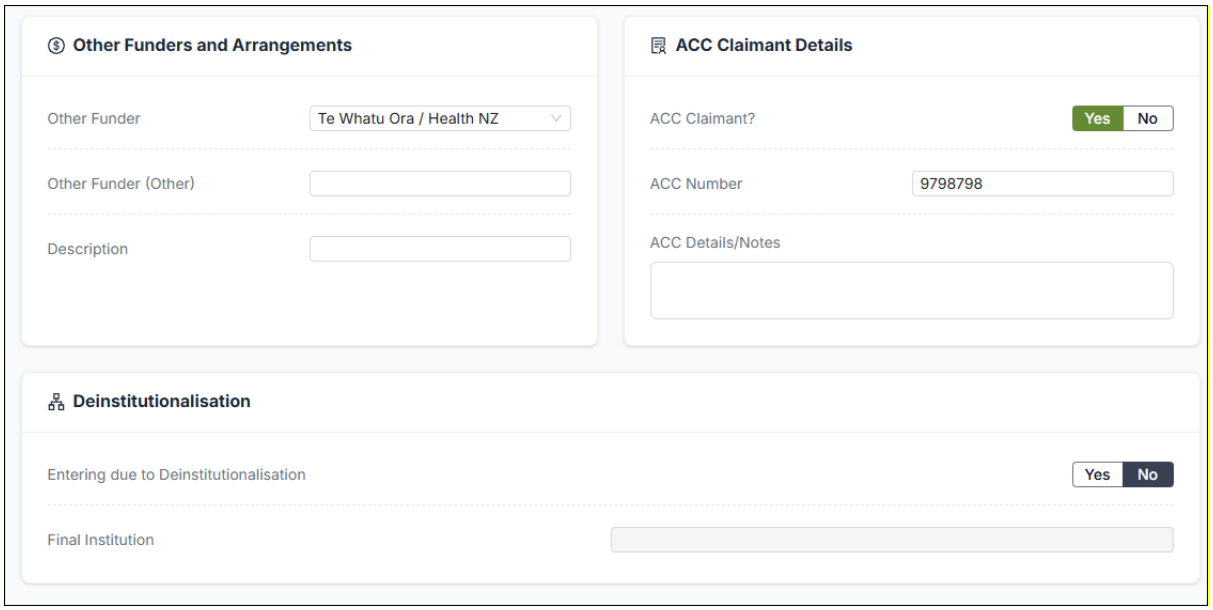


Click **Save** to save the information you have entered:

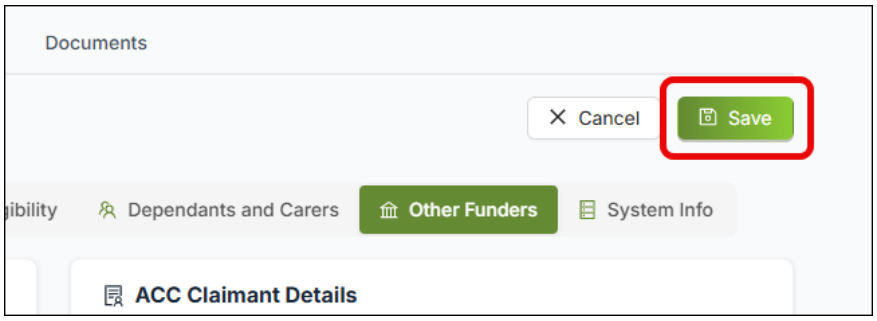



### 1.2.2.6 Other Funders

In the Other Funders section, you can record details regarding any other funders involved in funding the Disabled Person's care, as well as whether they were deinstitutionalised or not:

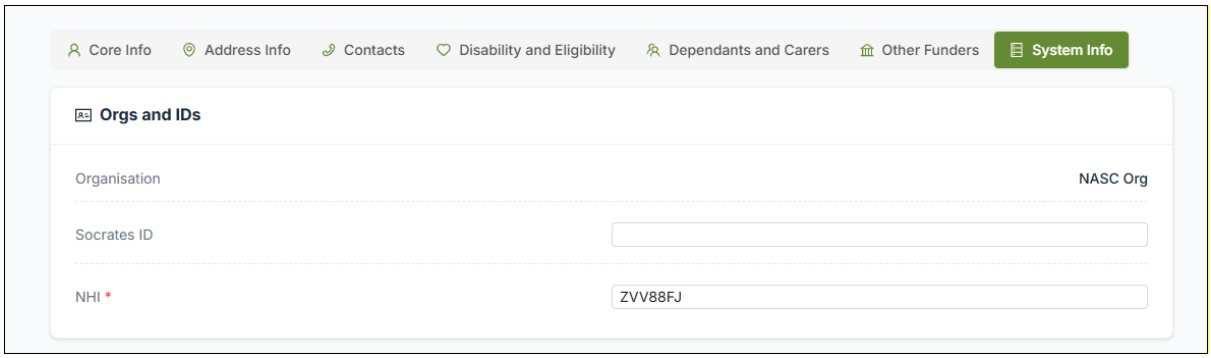



To save the information you enter, click **Save**:

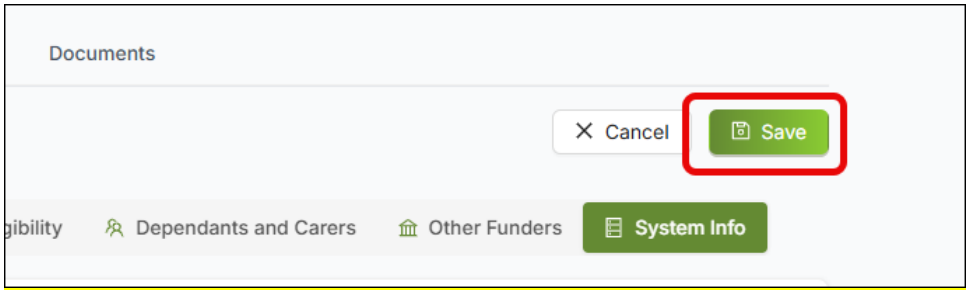


### 1.2.2.7 System Info

In the System Info tab you will find the NHI of the person recorded.




To save the information you enter, click **Save**:

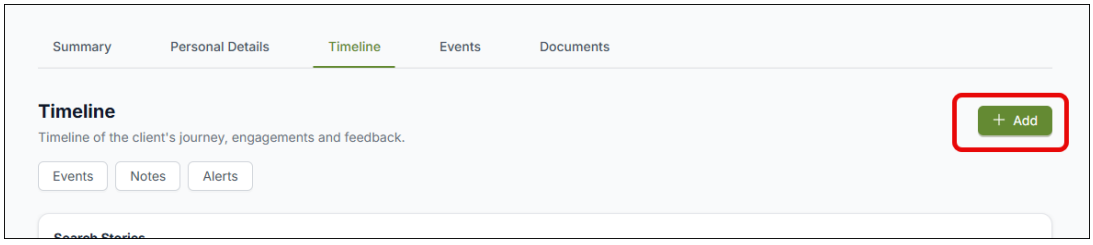



### 1.2.3 Timeline

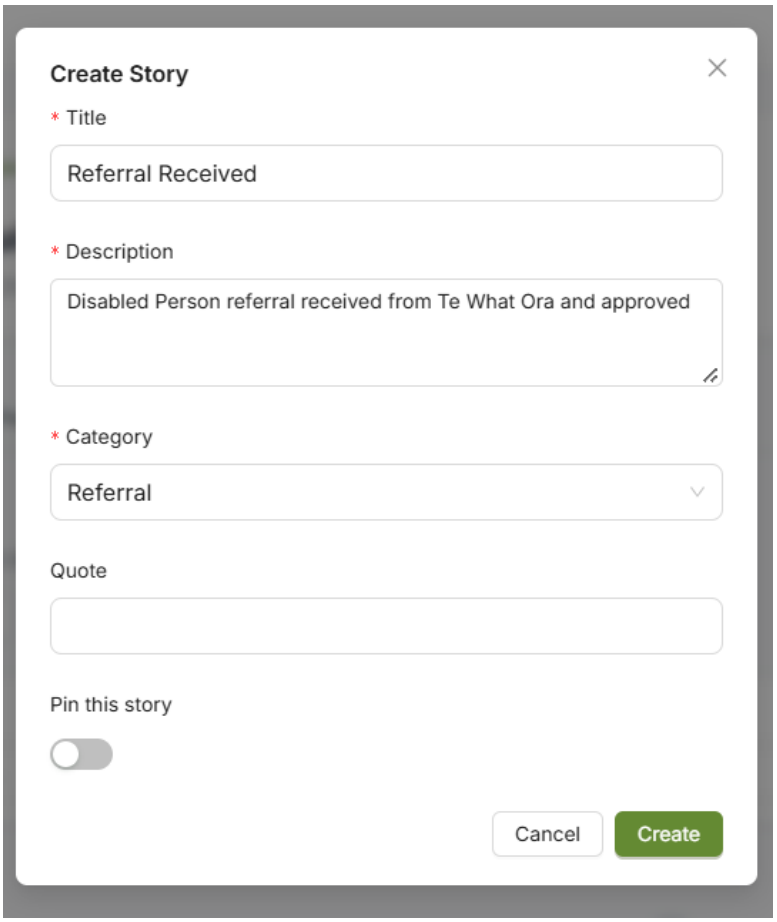
The Timeline screen contains a chronological timeline of the Disabled Person's assessment and funding journey, including the different stages their assessment and funding plans progress through. While some entries will be automatically added based on actions within the system (e.g. when a funding plan is completed), you can also manually add information to the timeline.

To manually add an entry:

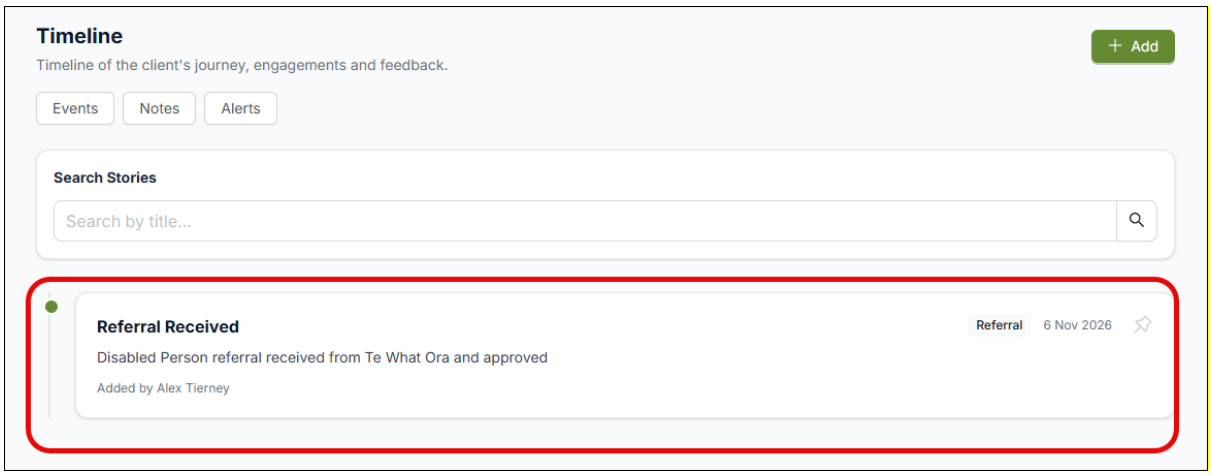
1. Click **Add:**



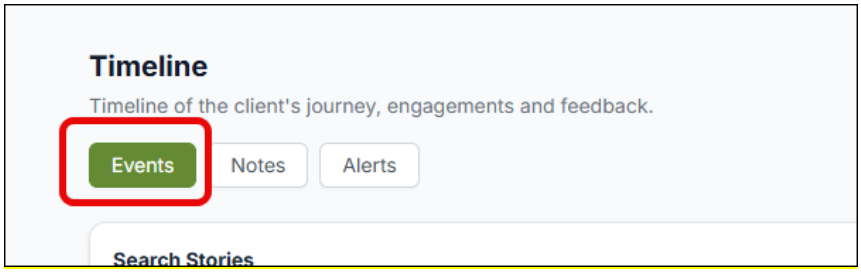
2. In the window that opens, write a title for the entry, a description, select the category, and if relevant enter a quote (i.e. a statement regarding this entry). If you switch the **Pin this Story** toggle to on, the timeline entry will be pinned at the top of the timeline, even if more entries are added later:




3. Click **Create** and the entry will be added to the timeline:



You can filter the timeline by category by clicking on the respective filter, e.g. if you only wanted to see events:




You can also search the timeline using the *Search Stories* field.

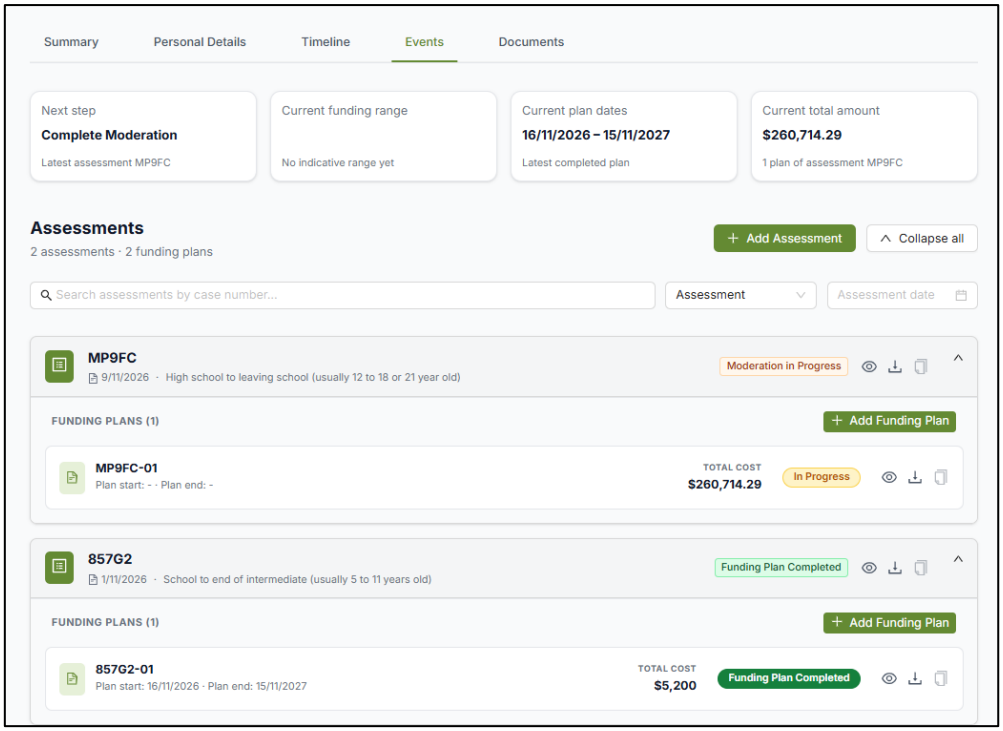
Entries are shown newest first and can be categorised as Notes, Alerts or Events. Some entries, such as Assessment Completed and Funding Plan Completed, are added automatically by the system. Pinned entries are also shown on the Summary screen.

### 1.2.4 Events

The Events section displays the Disabled Person's assessments and the funding plans linked to each assessment. At this stage, when you are creating the Disabled Person's profile, it is unlikely that any events will be saved here yet.

Once the Disabled Person has assessments, the Events tab shows:

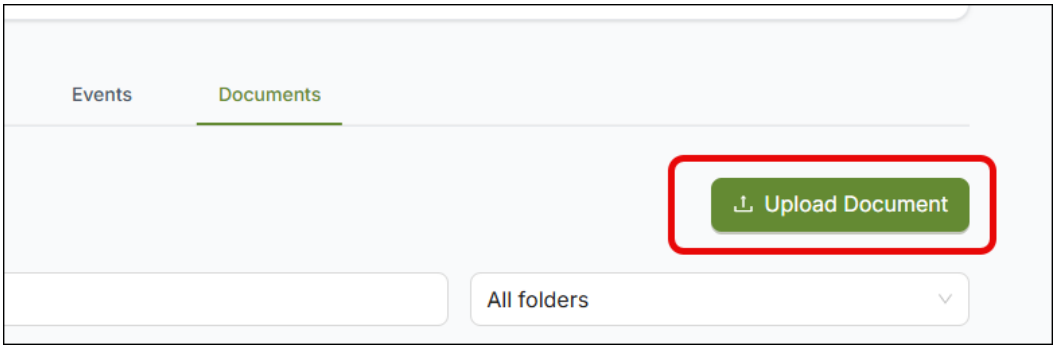
- Information tiles at the top showing the Next Step, the Current Funding Range (lower and upper Indicative Range) and the Current Plan Dates
- A list of the Disabled Person's assessments, newest first. Each assessment has quick actions to **View**, **Download** or **Duplicate** it (see *Duplicating an Assessment*)
- The funding plans for each assessment, nested underneath it. You can expand or collapse the plans for each assessment, and each plan has its own quick actions to **View**, **Download** or **Duplicate** it, where applicable
- Search fields to find an assessment by Assessment ID or date, or a plan by Plan ID or start and end date
- The **Add Assessment** button, which creates a new assessment using the Disabled Person's details from their profile (see *Creating an Assessment*)



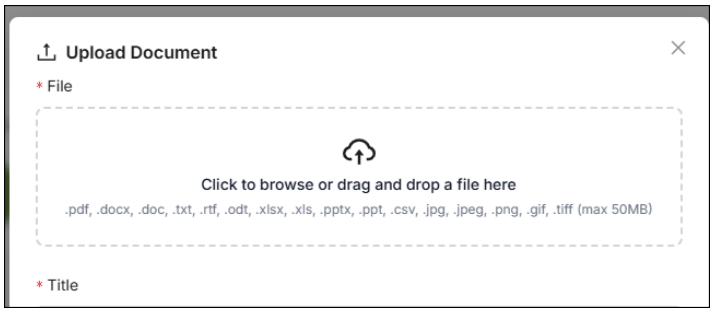

## 1.2.5 Documents

The Documents section allows you to upload and store documents against the Disabled Person's profile. To upload a document:

1. Open the Disabled Person's profile
2. Click the *Documents* tab
3. Click **Upload Document:**

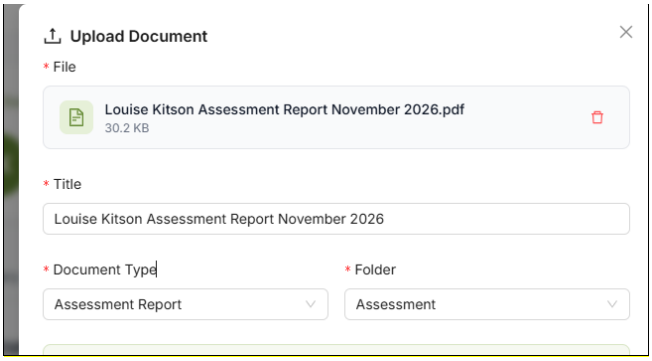


4. In the pop up that opens, you can drag and drop your document from your computer. Or you can click on the Browse tile to open a folder on your computer where you can find and select the relevant document:



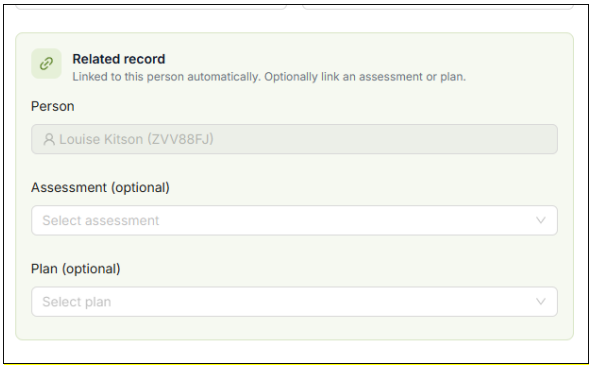

Supported file types are: documents (.pdf, .docx, .doc, .txt, .rtf, .odt), spreadsheets and presentations (.xlsx, .xls, .pptx, .ppt, .csv), and images (.jpg, .jpeg, .png, .gif, .tiff). Every file is scanned for threats when it is uploaded.

5. Once the document is selected, enter the title in the *Title* field (this should automatically prepopulate based on the name of your document) as well as the type and the folder it should be stored in:



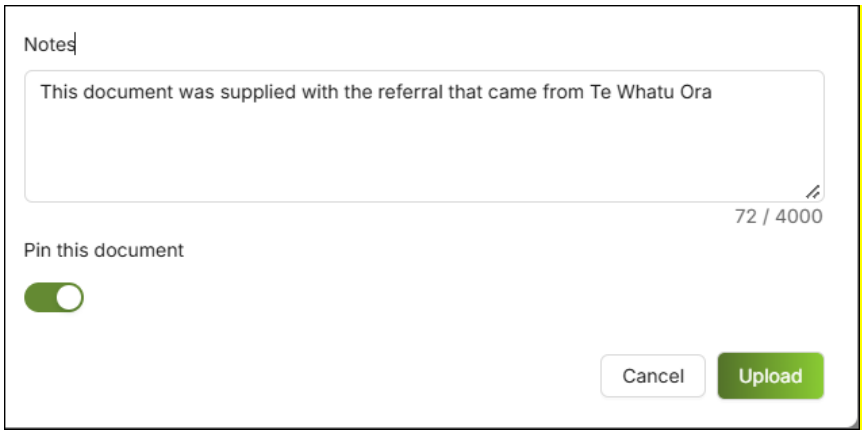

The standard folders are Referral, Assessment, Plans, Consent & Authority, Identity & Eligibility, Communications and Other.

6. You will see that the document will be linked to the relevant Disabled Person. You can also link it to a specific assessment and/or funding plan if you wish by using the respective fields:



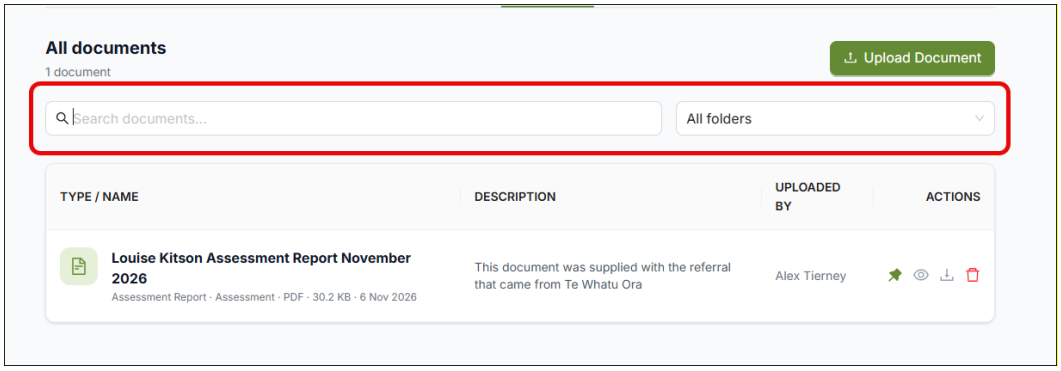
7. If you want to enter any additional notes regarding this document, you can use the *Notes* field. Notes can be up to 4,000 characters.

8. If you switch the *Pin Document* toggle to on, the document will remain pinned to the top of the Documents folder, no matter how many new documents are added:




9. Click **Upload** to complete the process of uploading the document

10. You will see the document appear in the *Documents* grid. You can search this section by document title using the *Search Documents* field, or you can filter it by folder using the *Folders* dropdown:




11. For all uploaded documents, you can carry out the following actions using the respective icon located in the *Actions* column:

- **Pin/Unpin**



Click this icon to pin or unpin the document

- **View**



Click this icon to view the document

- **Download**



Click this icon to download the document

- **Delete**



Click this icon to delete the document. You will be asked to enter a reason for deleting the document.

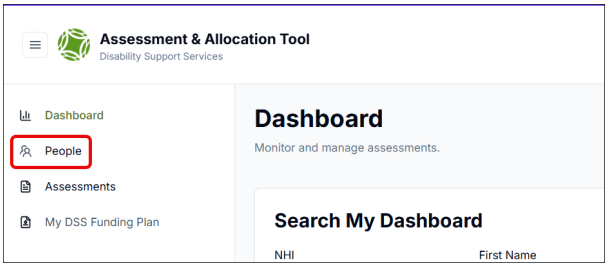
# 2 Creating an Assessment

Assessments are created from within the relevant Disabled Person's profile. In order to create an assessment, you need to either edit an existing Disabled Person's profile, or create a new one if they are not already in Socrates v2.

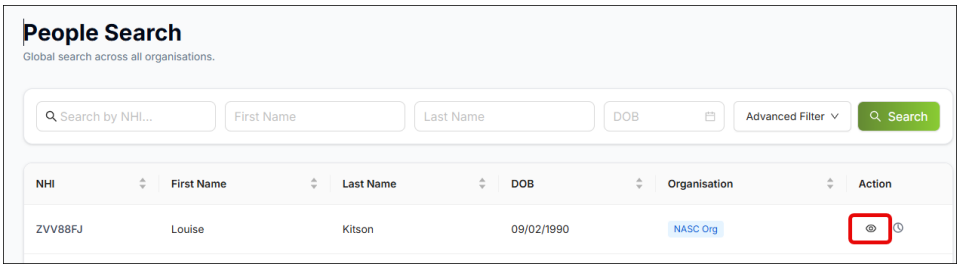
**Important Note:** A Disabled Person can only have one open assessment at a time. If they already have an assessment that is in progress, you will not be able to add a new one until it is completed or closed. If they have a previous completed assessment, you may prefer to duplicate it instead (see *Duplicating an Assessment* below).

To launch an assessment:

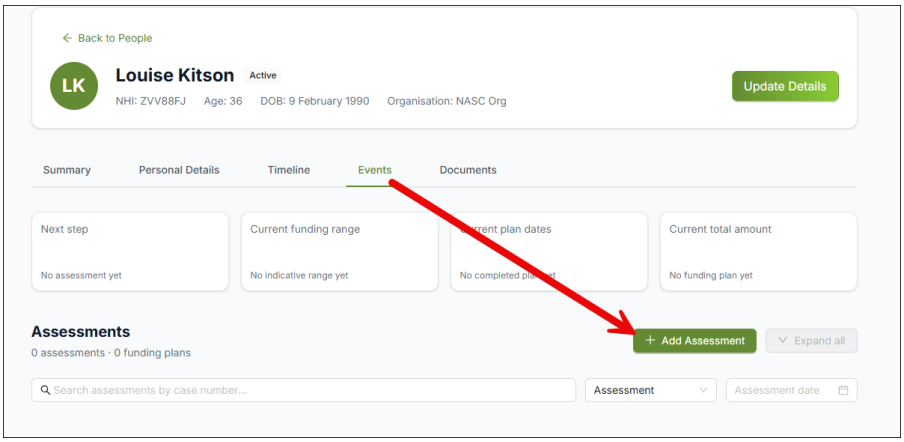
1. Click **People** in the left-hand menu:



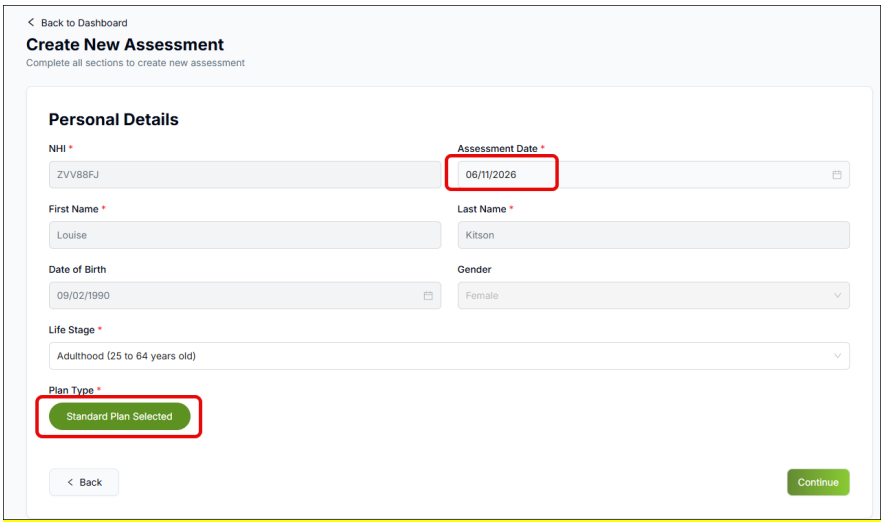

2. Search for the Disabled Person. If they have an existing profile in Socrates v2, click the **View People Detail** icon next to it. If they don't, click **Create New** to create a profile for them:




3. Click *Events* and then click **Add Assessment**:



4. Most of the information on the *Personal Details* screen will be preselected based on the Disabled Person's profile. You just need to fill whatever mandatory fields are empty and select the assessment date and the Plan Type (i.e. Standard Plan):

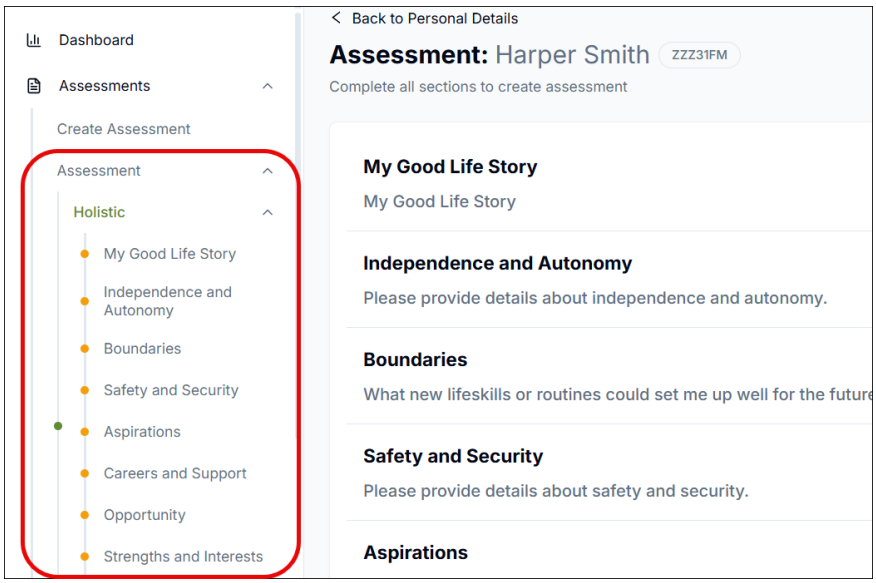



**Note:** Name, NHI, Date of Birth and Gender are filled in from the Disabled Person's profile and can't be edited on the assessment. To change them, update the person's profile.

Click **Continue** to move to the Holistic section of the assessment.

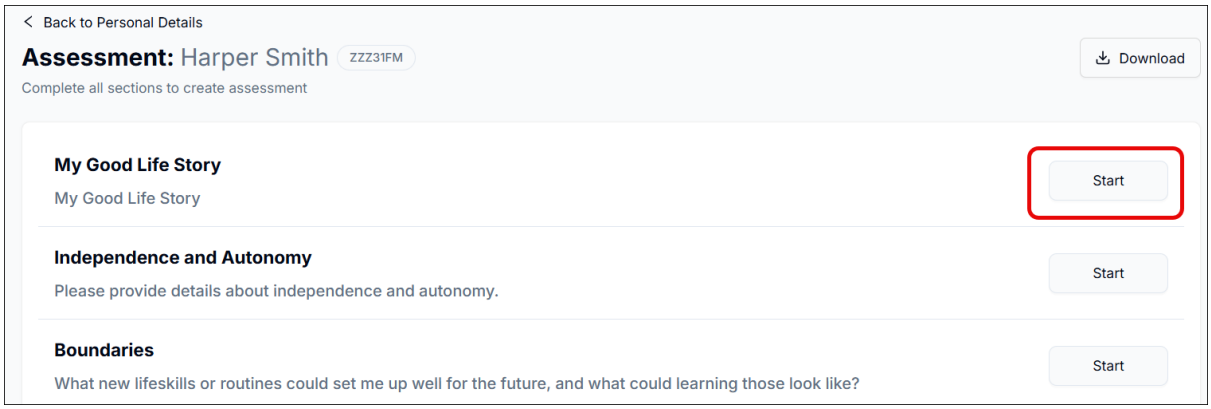
## 2.1 Holistic Section

When the Holistic Section opens, you will see all assessment sections displayed in the left-hand panel:

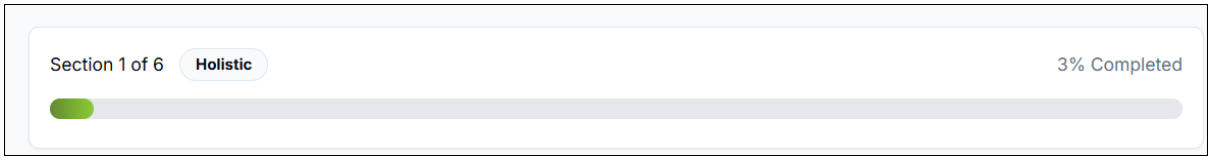


You will also see the different pages of the Holistic section displayed in the centre, with a **Start** button next to each stage.

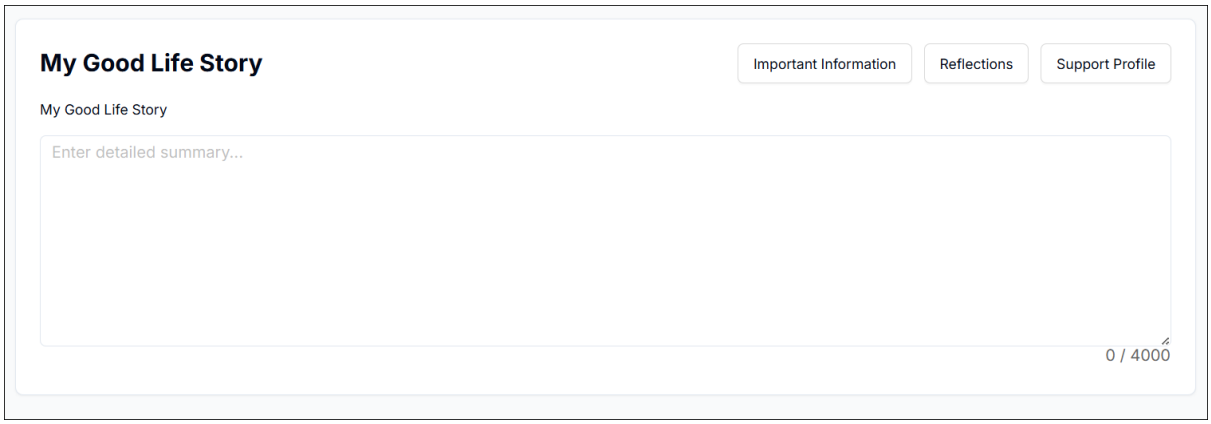
Click **Start** next to the desired page to enter information under that category:



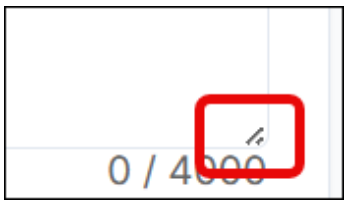

You will see a progress bar showing you how much of the *Holistic* section of the assessment you have completed:




The question/topic will appear below with a free text field for you to type in details. E.g. for *My Good Life Story*, you should use the free text field to summarise the Disabled Person's account of what constitutes a good life for them:




If you wish to make the free text field bigger, click on the bottom right-hand corner and drag the field down:



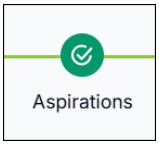

Once you're happy, click **Continue** to move to the next page or select the relevant section from the lefthand navigation panel.

You can then move through the Assessment, filling out each section and clicking **Continue** to proceed to the next section.

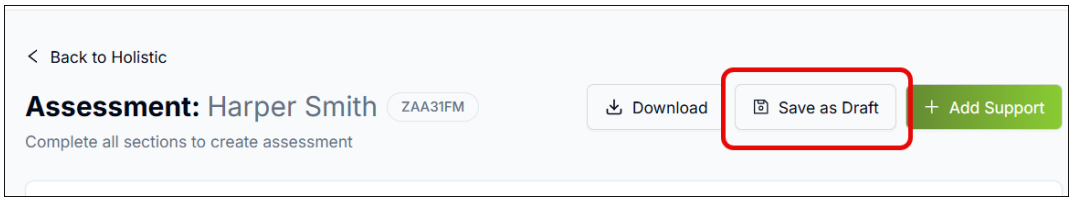
You can also jump to any section by clicking on it in the Progress Bar:




Whenever you have completed a section (including fully filling out the *Important Information, Reflections* and *Support Profile* sections), you will see that it turns green and displays a **Tick** icon to signify it has been completed:



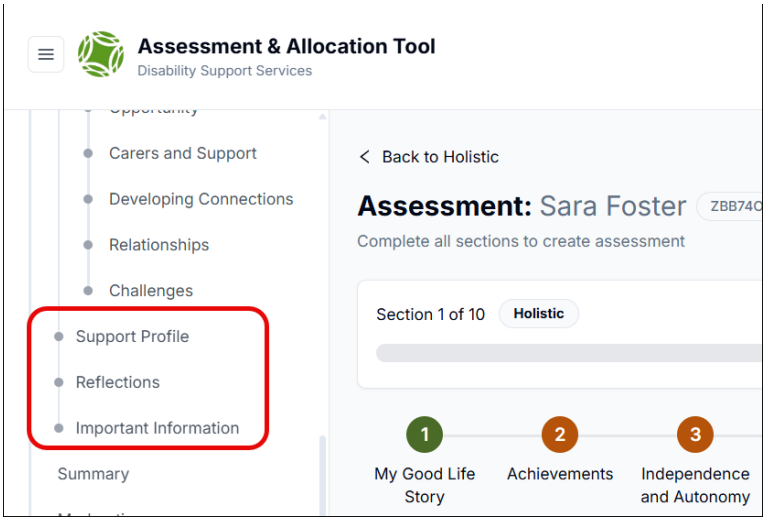

At any stage, you can click **Save as Draft** to save the Assessment and come back to it later:




## 2.2 Important Information, Reflections and Support Profile Sections

In addition to answering the questions within the *Holistic* Section, you can at any point add information by using the *Important Information*, *Reflections* and *Support Profile* sections.

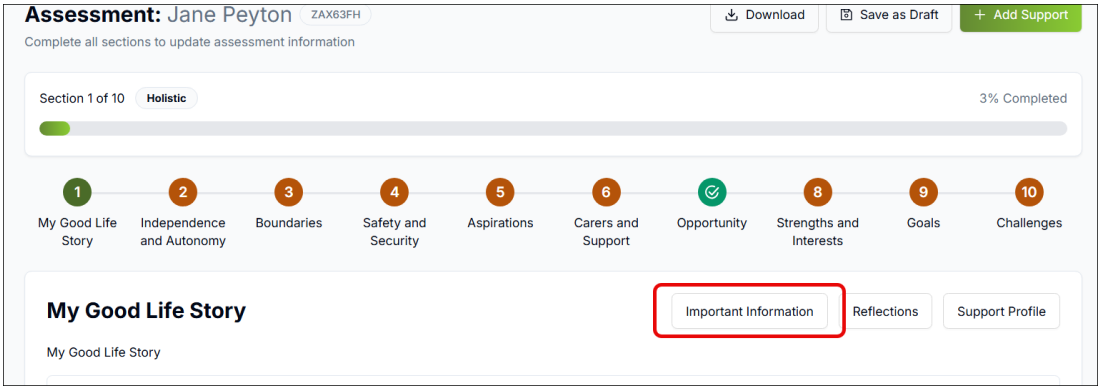
While you can add these from pages of the *Holistic* section, you can also answer and view all of your responses for each section collated together by clicking the respective option in the lefthand panel:



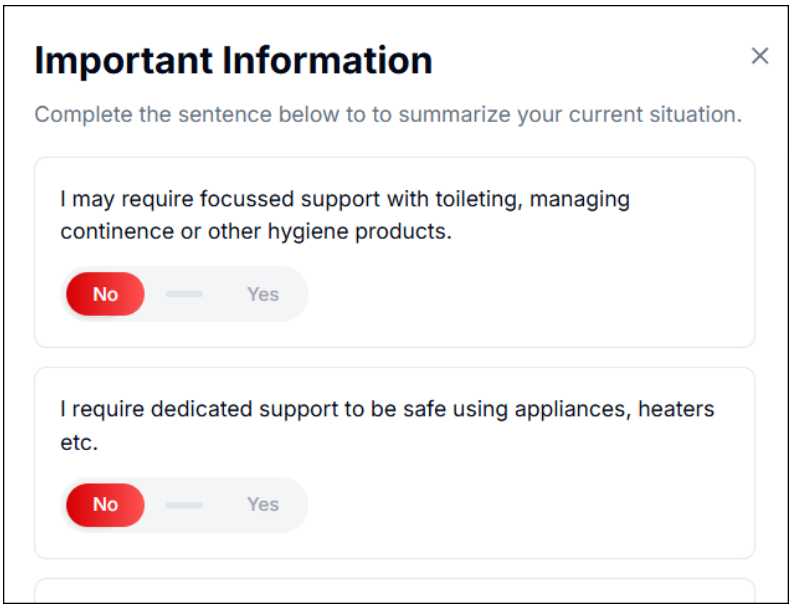
### 2.2.1 Important Information

To record important information:

1. Click the **Important Information** tab which you will find on certain pages of the *Holistic* section:




2. The *Important Information* panel will slide open from the right, enabling you to select the appropriate responses:



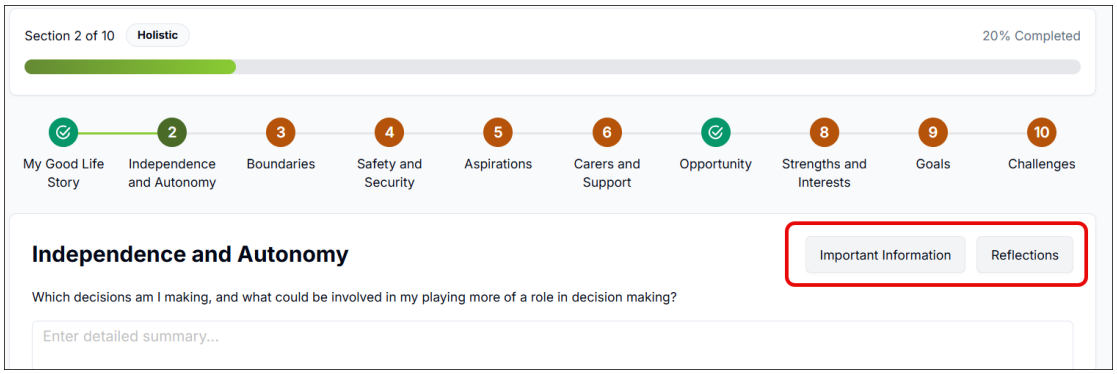

3. Once done, click **Save**

As you proceed through the Assessment, you can click on the **Important Information** tab on any page where it is located to add information relevant to that page.

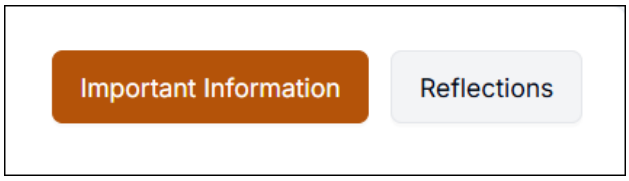
#### 2.2.1.1 Reflection, Support and Important Information Colour-Coding

The *Reflection, Support* and *Important Information* tabs are colour-coded, so you can instantly see whether they have been wholly or partially filled out.

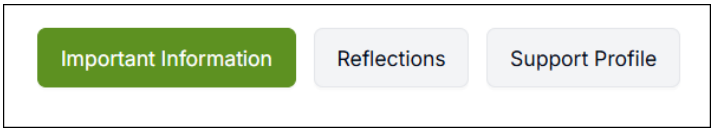
- **Light Grey**: This signifies that no information has been added to the respective section:




- **Rust Colour:** This signifies the respective section has been partially filled out:



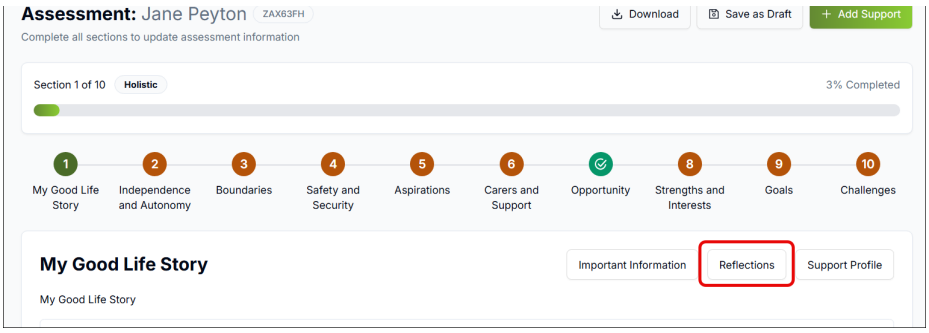

- **Green**: This signifies the respective section has been completely filled out:




### 2.2.2 Reflections

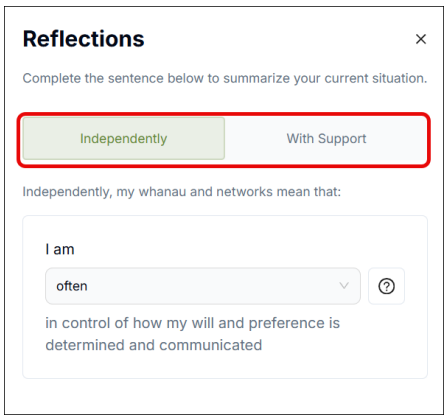
To record reflections:

1. Click the **Reflections** tab which you will find on certain pages of the holistic section:

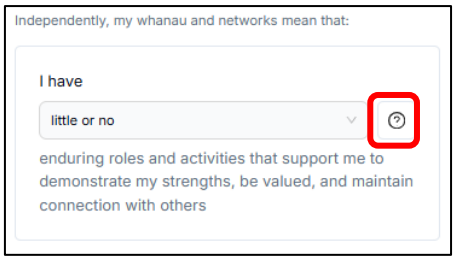



2. The *Reflections* panel will slide open from the right, enabling you to select the appropriate responses

3. There are two tabs with questions to answer (*Independently* and *With Support*):




4. If unsure how to answer, click the question mark icon to open the *Help* section for that particular question:




5. In the *Help* section, in each of the three tabs (Signalling/Sustaining/Strengths), select the statement which is the most appropriate from each tab, then click **Close**:



6. The system will automatically populate an answer based on your three selections; however, you can update the answer if required

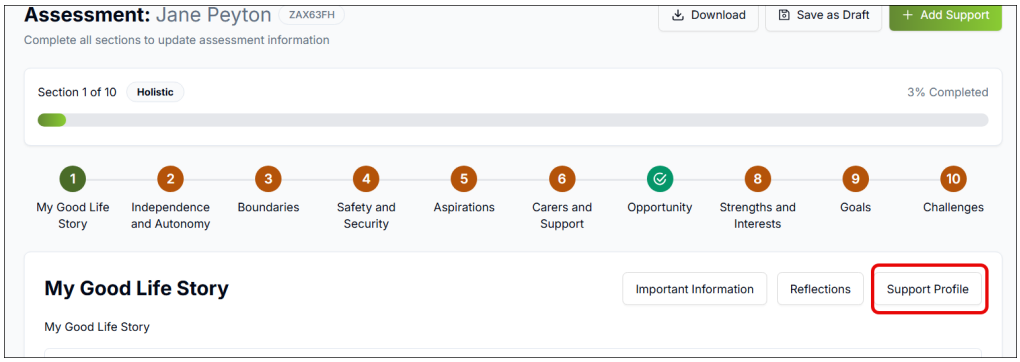
7. Once all answers have been entered, click **Save** to close the *Reflections* tab.

As you proceed through the Assessment, you can click on the **Reflections** tab on any page where it is located to add information relevant to that page.

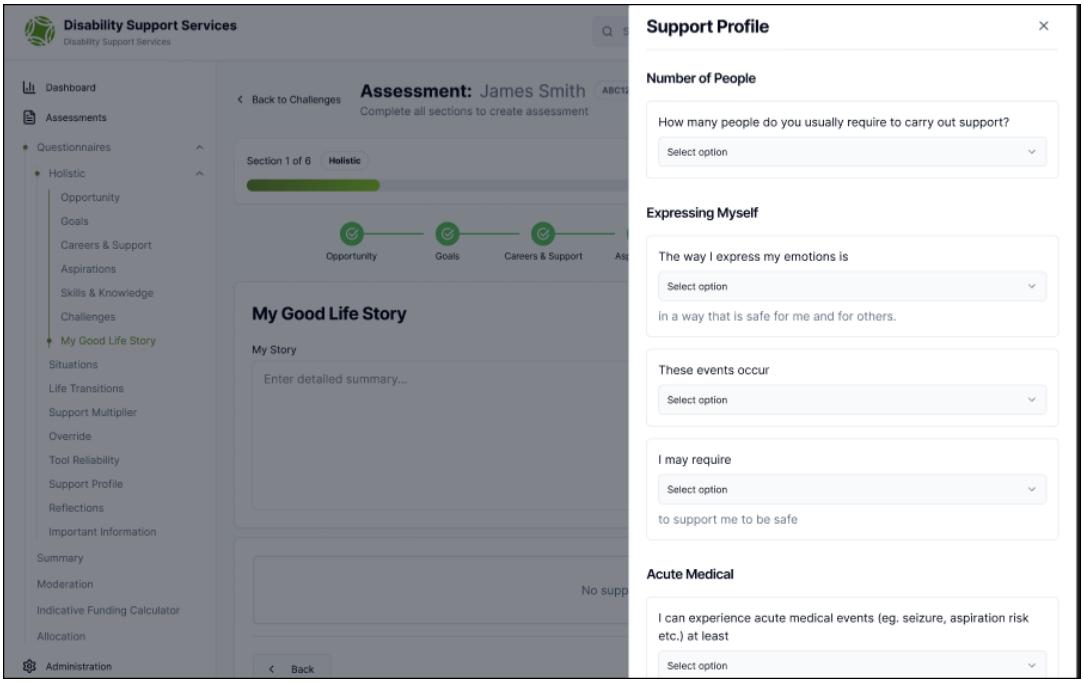
### 2.2.3 Support Profile

To record the Disabled Person's support profile (i.e. details around the level of support they might require in order to keep them safe):

1. Click the **Support Profile** tab which you will find on the first page of the *Holistic* section:




2. The *Support Profile* panel will slide open from the right. Select the answers to the questions from the respective dropdown list:



3. Once done, click **Complete**

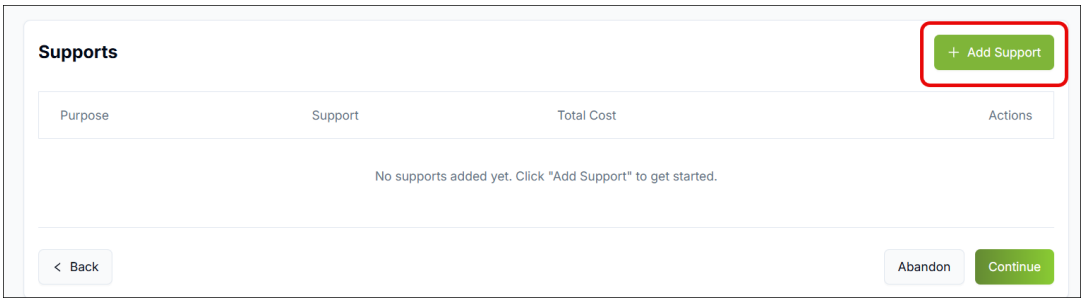
As you proceed through the Assessment, you can click on the **Support Profile** from the lefthand navigation to enter information.

### 2.2.4 Support

You can add support lines to the Disabled Person's *My DSS Funding Plan* from the *Holistic* section. The information recorded here will be included within the calculation of support costs within the funding plan.

To add a support:

1. On any page of the *Holistic* section, click **Add Support**:




2. The *Support* panel will slide open from the right. Here you can record the following details:

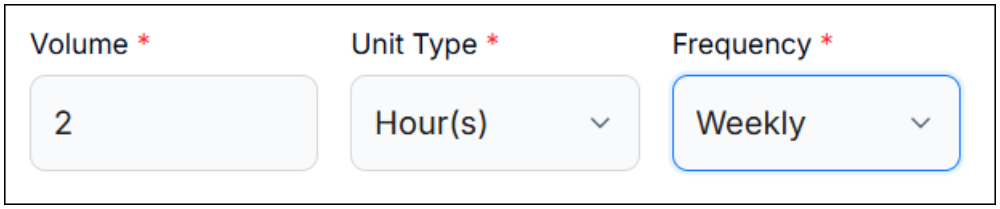
   a. *Area:* Select the appropriate 'Area' for the support which captures the support category.

   b. *Purpose:* The purpose of the support (i.e. whether it is to help with the Disabled Person's daily routine, life skills, or communication, etc.)

   c. *Support:* Details of the support, e.g. *A cleaner to come in twice a week*

   d. *Support Start/End Date:* The start and end dates of the required support

   e. *Volume, Unit Type* and *Frequency:* In this context, Unit Type refers to hours, days, weeks, etc. and the Volume determines how many of these are required. E.g. if you select Volume = 2, Unit Type = Hours, and Frequency = Weekly, that means the Disabled Person requires the support for two hours every week:



f. *Unit Cost*: This is the cost for each unit type you have selected. E.g. if you selected 2 hours every week, the Unit Cost will be the cost for one of those hours. Please note, if you don't yet know the costs, you can just put placeholder values for now (these can then be updated when completing the My DSS Funding Plan)

g. *Total Cost*: This is automatically calculated by the system and is the total of all unit costs within the support date range you specified

h. *Annualised Cost*: This is how much the support will cost per year (automatically calculated by the system)

i. *Managed By:* Who the support will be managed by

*j.* *Provider:* The Provider (if applicable) who will be involved in the delivery of this support as part of the Disabled Person's My DSS Funding Plan.

3. The *Office Use Only* section will typically be filled out later on so you can leave this part blank for now. If you are filling it out, use the respective fields as follows:

   a. The Purpose Code is prepopulated

   b. Add the categorisation

   c. Mark whether the support is jointly funded

   d. The percentage will be prepopulated and is relevant to self-managed host support lines only

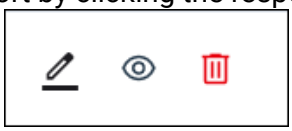
   e. You can enter any additional notes in the *Notes* field

4. Once you are done, click **Add Support**

You can see any supports you add in the *Supports* section on each page of the *Holistic* section:



You can edit, view or delete a support by clicking the respective icons:



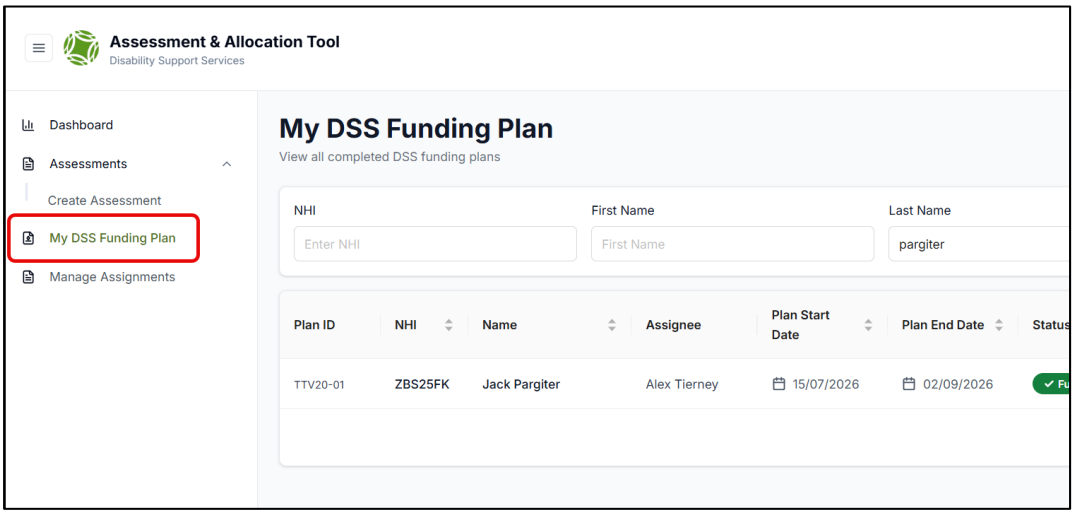
Supports will be visible in the My DSS Plan which can be generated once the assessment has been completed and an indicative funding range recorded.

### 2.2.4.1 Draft Funding Plan

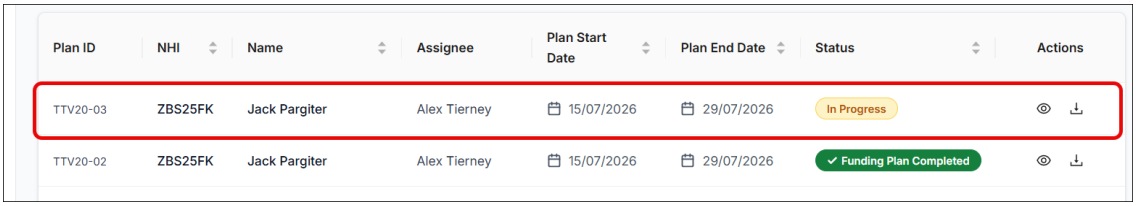
If a potential support has been added a draft funding plan is created in the MyDSS Funding Plan page. This means that the funding plan can be worked on while the assessment is in different stages.

To access the funding plan:

1. Click **My DSS Funding Plan** in the left menu to open the *My DSS Funding Plan* screen:




2. Click the *In Progress* status to open the plan. You can then carry out any necessary edits and/or confirm and complete the plan.




**Please Note:** you cannot have multiple versions of the same plan with a status of *In Progress*. The plan has to be updated to a status of *Funding Plan Completed* before you can use the duplicate function.

## 2.3 Summary

Once you have completed the *Holistic* section and clicked **Continue**, the application will take you to the *Support Profile* page. Keep clicking **Continue** to move through *Reflections and Important Information.*

After these pages you will arrive on the *Summary* page, where you can view the information you recorded in the *Important Information*, *Reflections*, *Support Profile* sections and any *Supports* added.

If you wish to revisit any of these sections and update your answer, you can click on them in the left-hand panel**.**

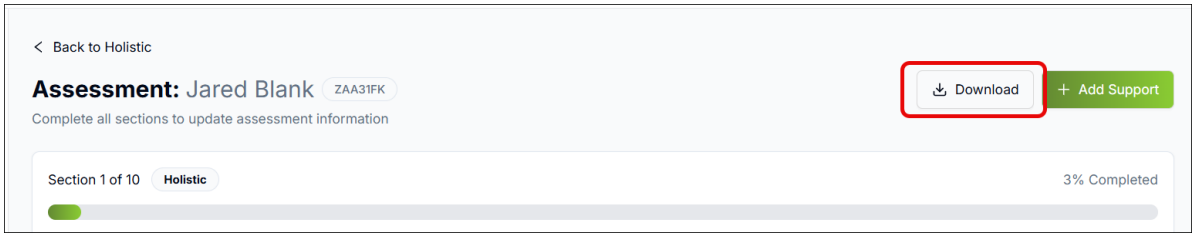
**Note:** The assessment's status History shows the full name of the user responsible for each action, with the date and time.

# 3 Downloading an Assessment

## 3.1 Downloading an Assessment

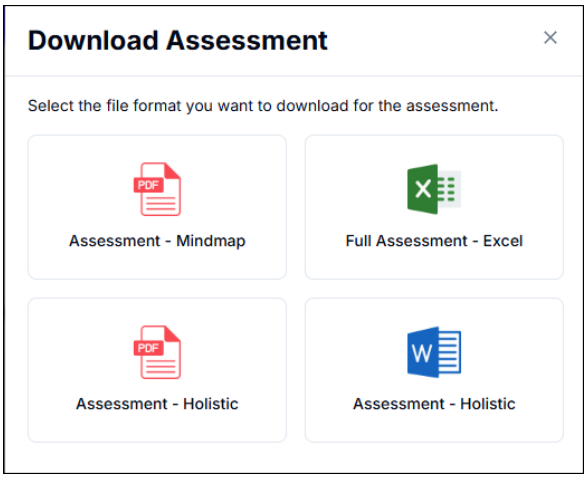
You can download the assessment at any time by clicking the **Download** button, which is available on all assessment screens from My Good Life Story to Summary:

Once all information has been entered into the assessment, you can download the assessment by clicking the **Download** button which is available on all assessment screens from *My Good Life Story* to *Summary*:




The following download options are available. Click the option you need:

| Download option | Format | Best used for |
|---|---|---|
| Mind-map | PDF | A visual one-page overview for the Disabled Person |
| Assessment | PDF | Full assessment record |
| Assessment | Word | Full assessment record you can edit or annotate |
| Assessment | Excel | Working with the data |
| **Assessment – Holistic** | PDF | The holistic questions and answers only, in a simple layout |
| **Assessment – Holistic** | Word | As above, in an editable format |



### 3.1.1 About the Holistic download

- It shows only the holistic questions and answers, each in a full-width box that expands to fit the text. Nothing runs onto an overflow page.
- The header shows the Disabled Person's **Name, NHI, Assessment ID, Date of Birth and Lifestage**.
- The file is named FirstName_LastName_AssessmentID_Holistic, which makes it easy to find and attach to records.

### 3.1.2 Other download changes

- The header on the Mind-map and other downloads now reads: **Name**, **NHI**, **Assessment ID**, in that order.
- The simpler downloads now include the **Area** for each support.

Downloaded assessments can be printed/emailed to the Disabled Person for confirmation the information is complete and correct.

Once the Disabled Person is happy with the summary, mark the *Disabled Person Confirmation* as yes and click **Continue to Moderation**:

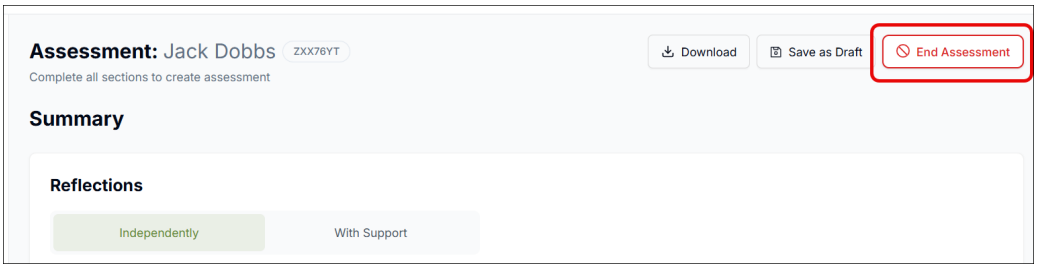



**Important note:** Assessments can be downloaded form the assessments page or from the person profile at any stage.

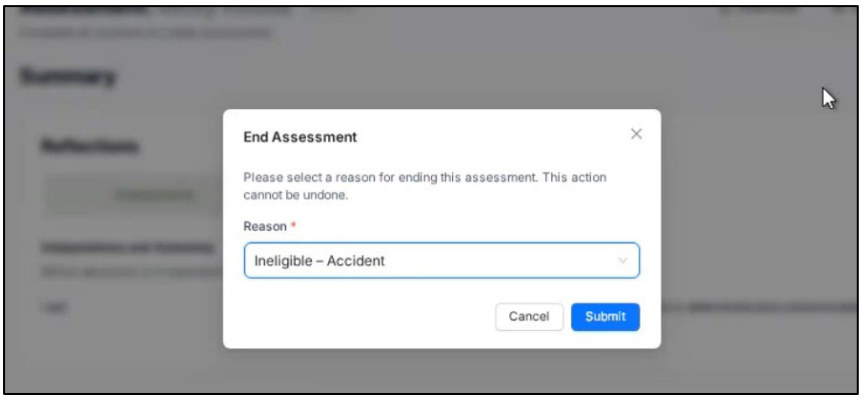
### 3.1.3 Ending an Assessment

If you want to end the assessment you are working on without completing the workflow:

1. Click the **End Assessment** button on the *Summary* screen (you will also find it on the *Moderation and MyDSS Funding plan pages*):



2. In the pop up that opens, select the reason for ending the assessment and click **Submit:**




3. The assessment will be marked as *Closed* and removed from your *Action Required* grid

4. The assessment will still be available to view from the assessment page in the dashboard.

## 3.2 Duplicating an Assessment

If a Disabled Person has already had an assessment, you can duplicate their latest assessment instead of starting from scratch. This creates a new draft assessment with their holistic answers already filled in, so you only need to review and update what has changed.

**Before you start, check:**

- A person can only have **one open assessment** at a time.
- You can only duplicate the **latest** assessment, and only when its status is **Assessment Completed**.
- The new assessment will be for the **same lifestage** as the one you are duplicating.

**What is copied and what isn't**

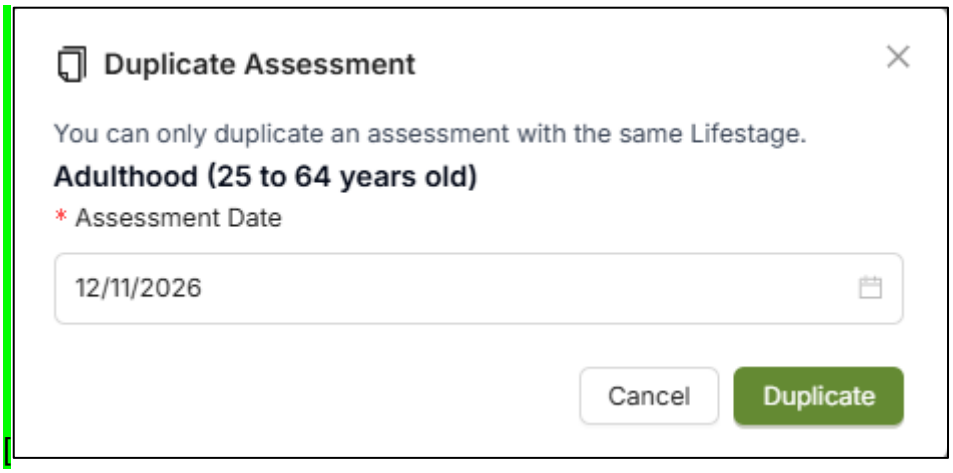
| **Copied into the new assessment** | **Not copied (complete these again)** |
|---|---|
| Holistic section answers | Support Profile |
| Personal details (from the person's profile, locked) | Reflections |
| | Important Information |
| | Supports and My DSS Funding Plans |

**To duplicate an assessment:**

1. Click **People** in the left-hand menu and search for the Disabled Person.
2. Click the **View People Detail** icon next to their name to open their profile.
3. Click **Events**.
4. Find the latest assessment and click **Duplicate** in its quick actions:




5. A pop-up will open showing the lifestage the new assessment will use and a space for the new assessment date to be entered. Check they are correct, then confirm:

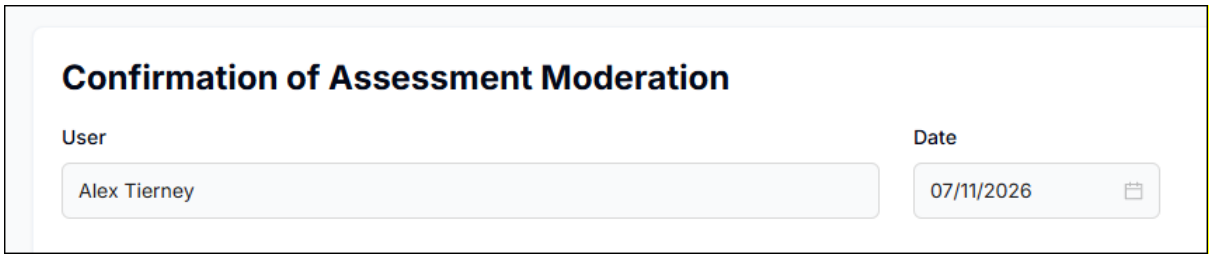



The new draft assessment opens on the **Personal Details** screen. Name, NHI, Date of Birth and Gender come from the Disabled Person's profile and cannot be edited here. To change them, update the person's profile instead.

6. Check the **Assessment Date** and update it if needed. This field is still editable.
7. Click **Continue** and work through the Holistic section, reviewing and updating each answer with the Disabled Person.
8. Complete the Support Profile, Reflections and Important Information, and add any supports, as you would for a new assessment.

## 3.3 Moderation (Confirmation of Assessment Review)

On the *Moderation* screen within the assessment, your name and the date of the assessment are automatically selected under the **Confirmation of Moderation**:

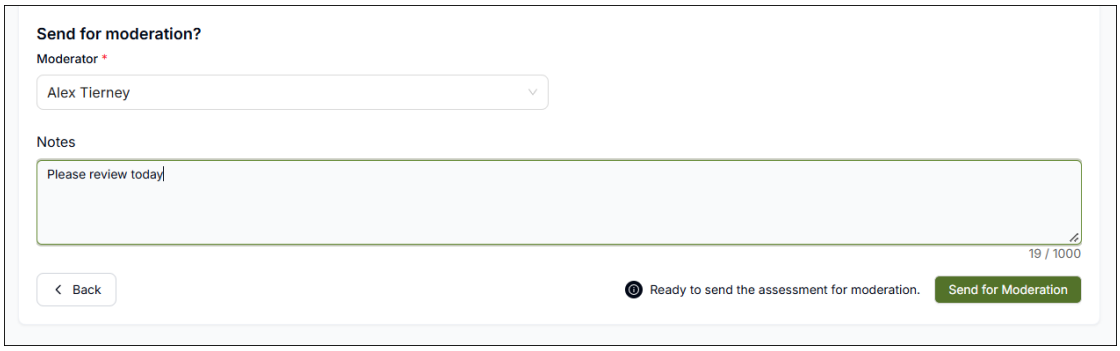



Here you have the option of sending the assessment to a moderator to check over, or not.

### 3.3.1 Option 1: Completing the Assessment with Moderation

To send the assessment to a moderator:

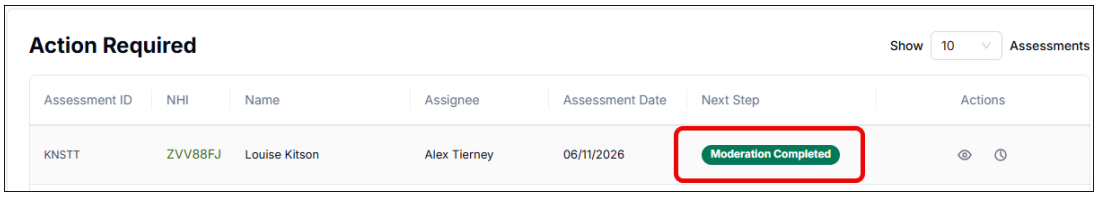
1. On the *Moderation* screen, select the moderator you wish to assign the assessment to, and enter any accompanying notes for the moderator's attention:




2. Click **Send for Moderation**

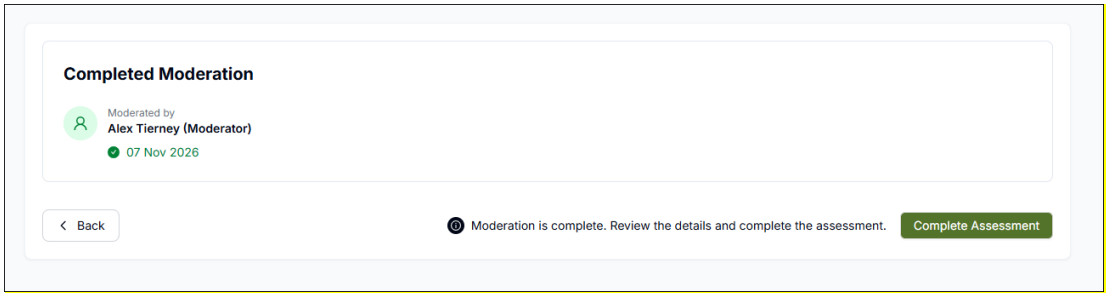
3. The assessment will be assigned to your selected moderator with a status of *Start Moderation* and the moderator will receive a notification.

4. The moderator, when completing the moderation, will have the option of sending it back to you, or of sending it on to the DSS Allocator directly. If they send it back to you, you will see it appear in your *Action Required* section on the Dashboard with a status of *Moderation Completed*:



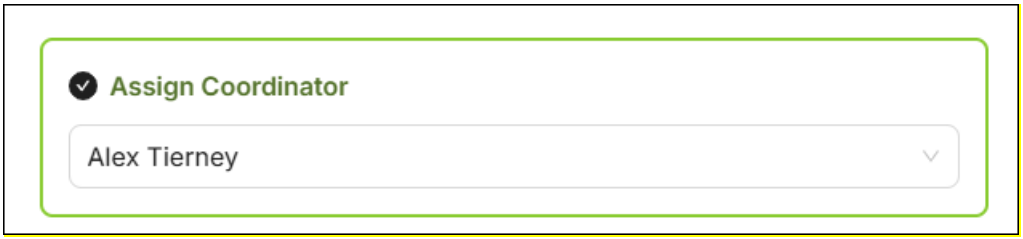

5. Click on the status and the assessment will open on the *Moderation* screen

Here you will see the user who completed the moderation as well as the date:



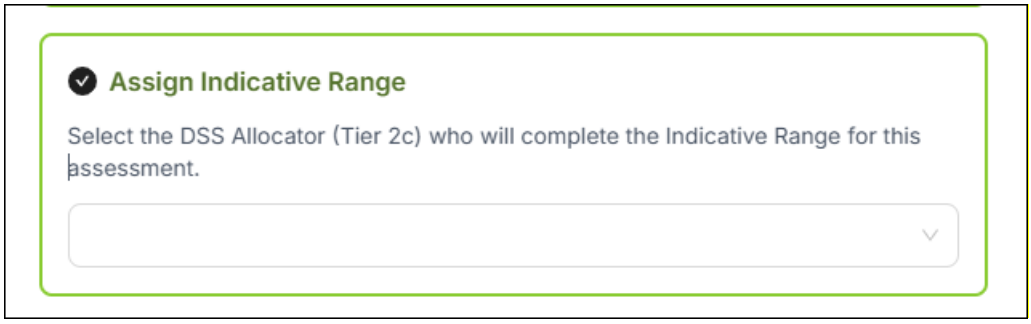

6. To send the assessment for indicative range calculation, click **Complete Assessment**

7. A pop up will open where you need to assign a coordinator. The coordinator is the person who will take this assessment forward once an indicative range has been calculated and the assessment has been passed back from the DSS team. By default, you will be selected as the coordinator, but you can select another user if appropriate:




This pop-up is called **Assign for IR Completion**. The blue banner at the top explains: "The selected person will receive this assessment for confirmation, once the Indicative Range is completed. Confirming sends it to the Indicative Range team for calculation.

8. Next in the *Assign Indicative Range* section, select Indictive Range Support:



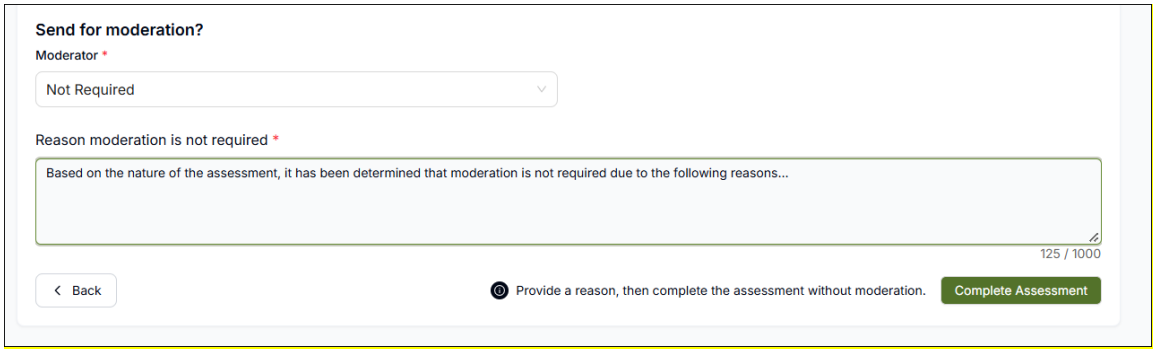

9. You can enter any notes for their attention in the *Assignment Notes* field

10. Once happy, click **Complete Assessment.** The assessment status changes to **Assessment Completed** and it is assigned to the Indicative Range Support team for Indicative Range calculation. When the Indicative Range has been calculated, the coordination appears in the coordinator's Action Required list with the status **Confirm IR**.

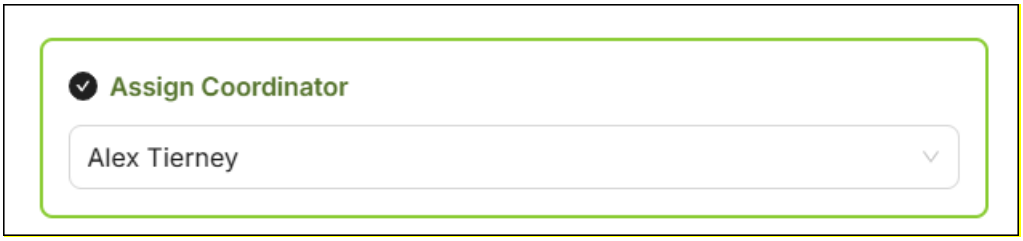
### 3.3.2 Option 2: Completing the Assessment without Moderation

To complete an assessment without moderation and send it directly to the DSS Allocator:

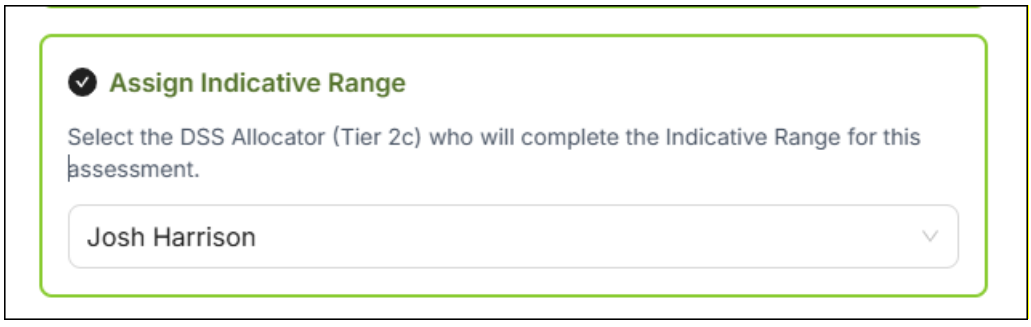
1. On the *Moderation* screen, select **Not Required** in the *Moderator* dropdown
2. A *Reason* field will appear where you need to type the reason moderation is not required:




3. Click **Complete Assessment**
4. A pop up will open where you need to assign a coordinator. The coordinator is the person who will take this assessment forward once an indicative range has been calculated and the assessment has been passed back from the DSS team. By default, you will be selected as the coordinator, but you can select another user if appropriate:




5. Next in the *Assign Indicative Range* section, select the DSS Allocator you wish to assign this assessment to:



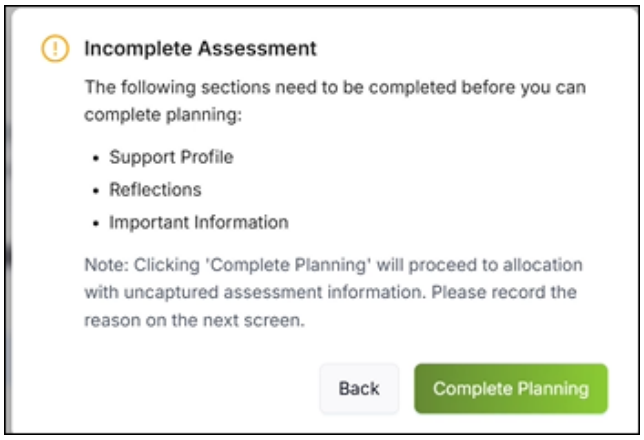

6. You can enter any notes for their attention in the *Assignment Notes* field

7. Once happy, click **Complete Assessment**

**Training environments only:** In the training environment, you will see an option to choose an Indicative Range Support (Tier 2c) user nominated by your NASC/EGL , so training isn't held up. In Production there will only be the Indicative Range Support to choose.

## 3.4 Incomplete Assessments

If you click **Send for Moderation** or **Complete Assessment** and information is missing from the assessment, you will see a pop up appear:




If you want to complete the assessment anyway, simply click **Complete Planning.** On the next screen, document the reason for incomplete answers in the *Notes* field, e.g. "Disabled person did not wish to answer".

However, if you want to go back and review and/or fill in the missing sections:

1. Click **Back**

2. This will take you back to the first section where information is missing, e.g. *Support Profile*

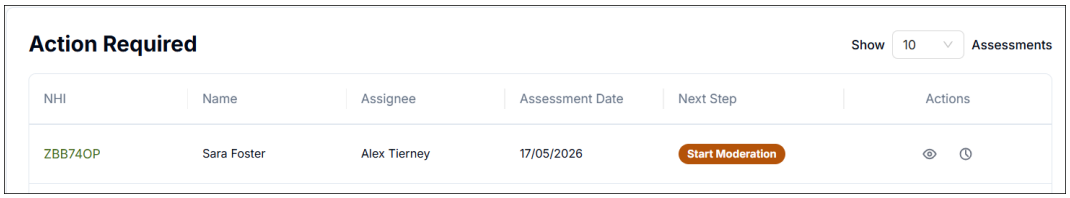
3. You can then proceed through the relevant sections and fill in the missing information

4. Once you return to the *Moderation* page, if sending for moderation select the moderator and click send for moderation. If not moderating the assessment select not required from the drop down and select complete assessment.

# 4 Reviewing the Assessment

## 4.1 Picking up an Assessment

If an assessment is assigned to you, you will see it appear in your *Action Required* section on the *Dashboard* with a status of *Start Moderation:*




To pick up that assessment:

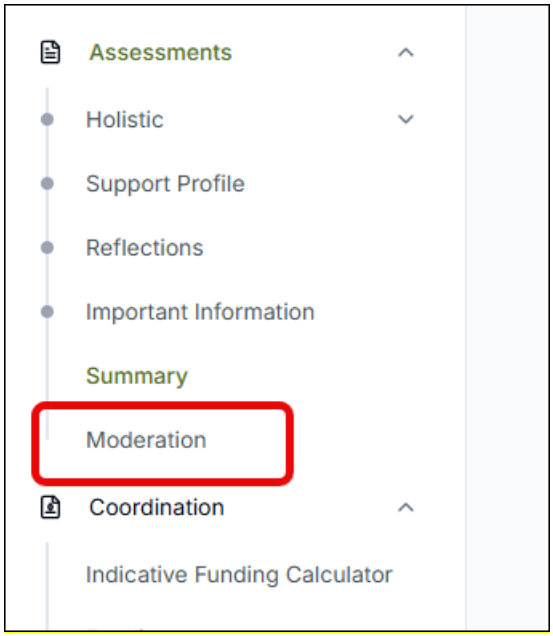
1. Click on the **Start Moderation** status

2. A pop up will appear asking you to confirm; click **Start Moderation**

3. The assessment will open on the *Summary* screen from where you can easily use the left-hand panel to navigate through the assessment to review the recorded information
   As the moderator, you have full edit access to the assessment, so you can update it directly if needed.

## 4.2 Moderating the Assessment

You should review the assessment information and confirm this assessment is ready for indicative range. Once you are happy with your review, click **Moderation** in the left-hand panel:



Here you will see the Confirmation as completed by the Assessor (you will see the Assessor's name and the date of assessment review):



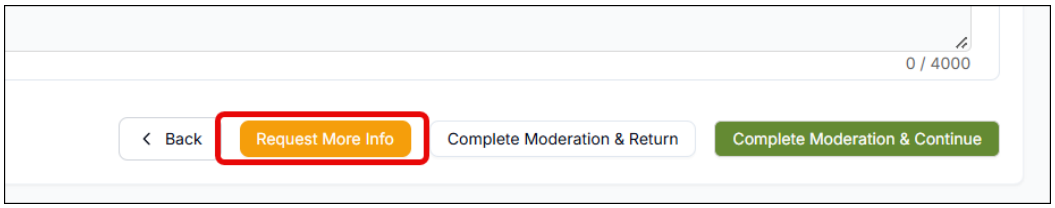

You will also see the following three options:

1. Request more Info
2. Complete Moderation and Return
3. Complete Moderation and Continue

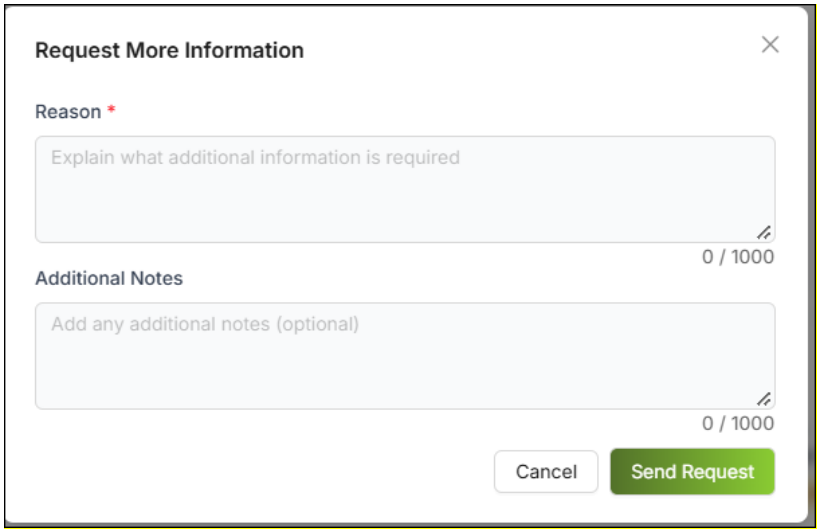
### 4.2.1 Requesting More Information

If you require more information from the Assessor who filled out the assessment:

1. Click **Request More Info**:

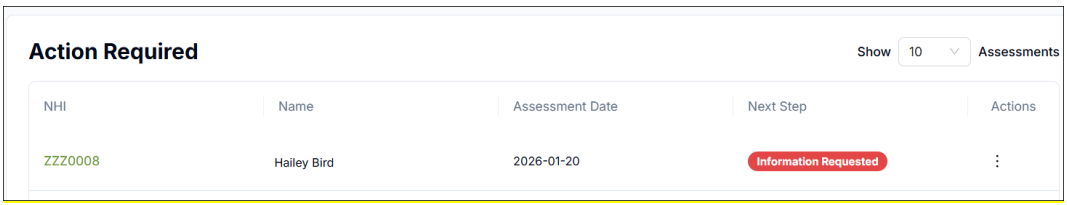



2. In the pop-up that opens type in the *Reason* you need more info. You can also enter additional notes for the Assessor if you wish:




3. Click **Send Request**

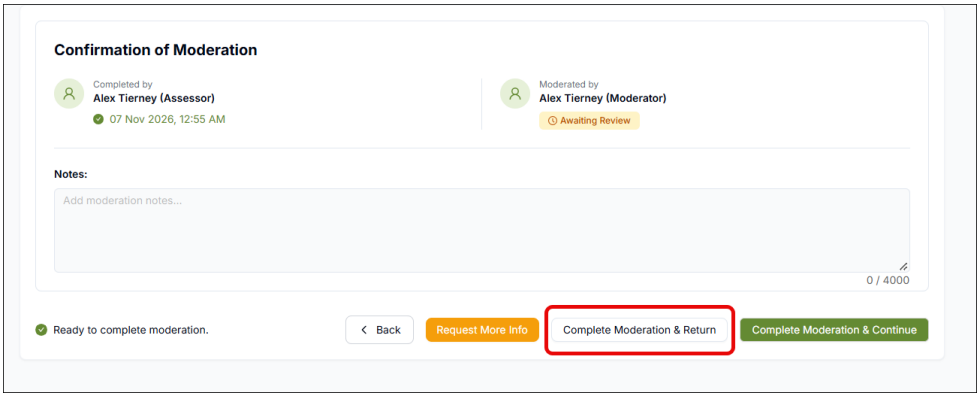
4. The assessment will then appear in the Assessor's *Action Required* section with a status of *Information Requested*:




### 4.2.2 Complete Moderation and Return

If you wish to complete your moderation and return the assessment to the assessor:

1. Click **Complete Moderation and Return**:

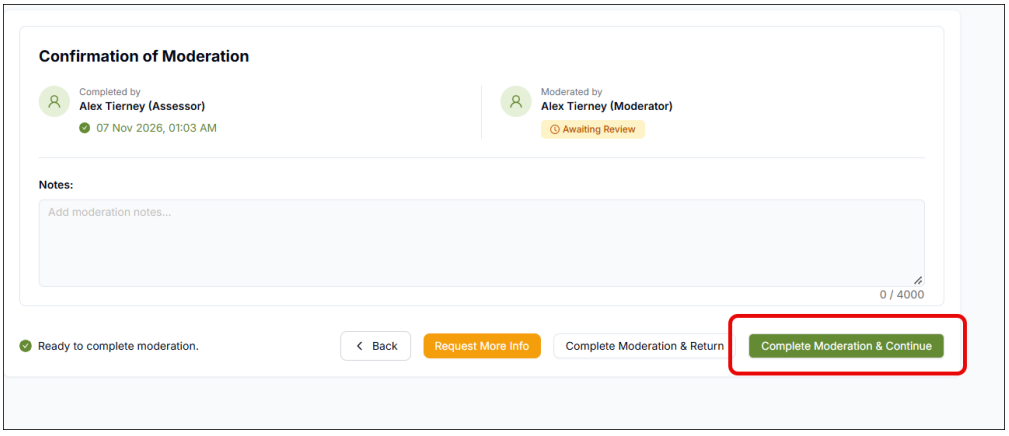



2. The assessment will be assigned to the assessor who sent it for moderation, with a status of *Moderation Completed*.

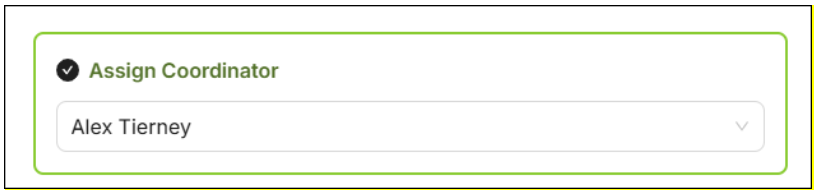
### 4.2.3 Complete Moderation and Continue

As a moderator, you also have the option to complete your moderation and pass the assessment on directly to the DSS team. To do so:

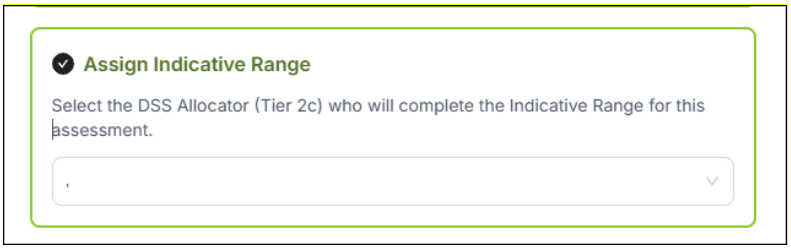
1. On the *Moderation* screen, click **Complete Moderation and Continue:**



2. A pop up will open where you need to assign a coordinator. The coordinator is the person who will take this assessment forward once an indicative range has been calculated and the assessment has been passed back from the DSS team. By default, you will be selected as the coordinator, but you can select another user if appropriate:




3. Next, in the *Assign Indicative Range* section, select Indicative Range Support:




4. You can enter any notes for their attention in the *Assignment Notes* field

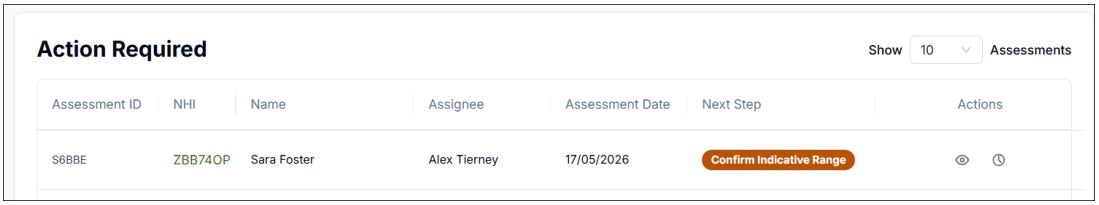
5. Once happy, click **Complete Assessment.** The assessment status changes to **Assessment Completed** and it is assigned to the DSS team for Indicative Range calculation. When the Indicative Range has been calculated, it is returned to the coordinator you selected with the status **Confirm IR**.

# 5 Reviewing the Indicative Range

## 5.1 Assignee Reviews the Indicative Range

If you have been assigned as the Coordinator for an assessment, once the DSS Team has completed their indicative Range Calculation, the assessment will be assigned back to you to confirm the IR. To do so:

1. Find the assessment in your *Action Required* section on the *Dashboard* and click on the status **Confirm Indicative Range:**

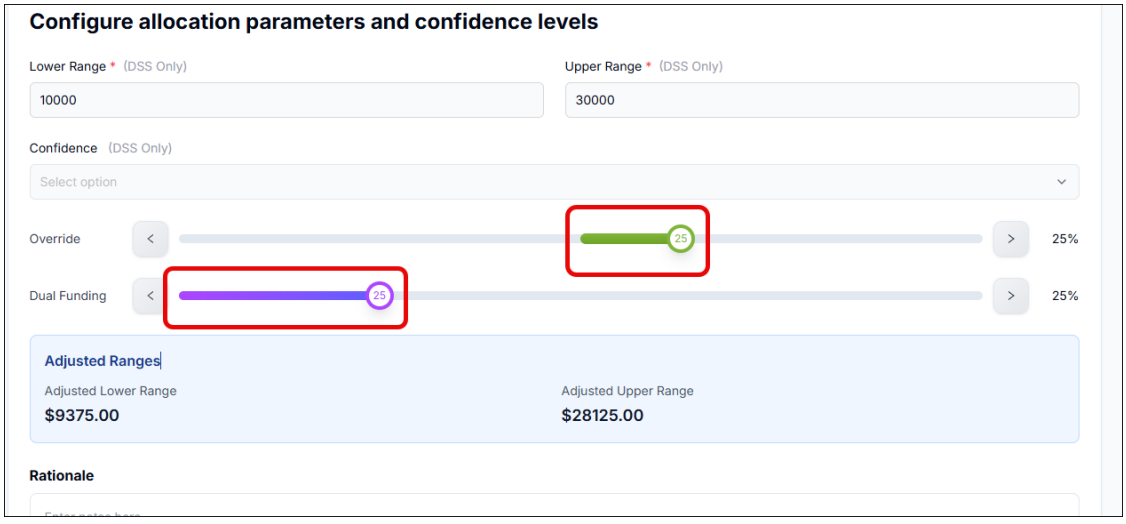



   The assessment opens on the *Funding* page

2. You will see the Lower Range and Upper Range as recorded by Indicative Range Support

3. You can accept the calculated indicative range and leave it as it is. Or you can override the given range by a defined percentage of the range. E.g. if you set the slider to 25%, it will add 25% to both lower and upper ranges. Use the slider to select the appropriate percentage

4. You can also use the *Dual Funding* slider to update the amount of funding that will be covered by another funder. E.g. if you move the slider to 25%, that means 25% of the funding will be paid by another funder, so the system will automatically adjust the lower and upper funding ranges to 75% of the previous values:



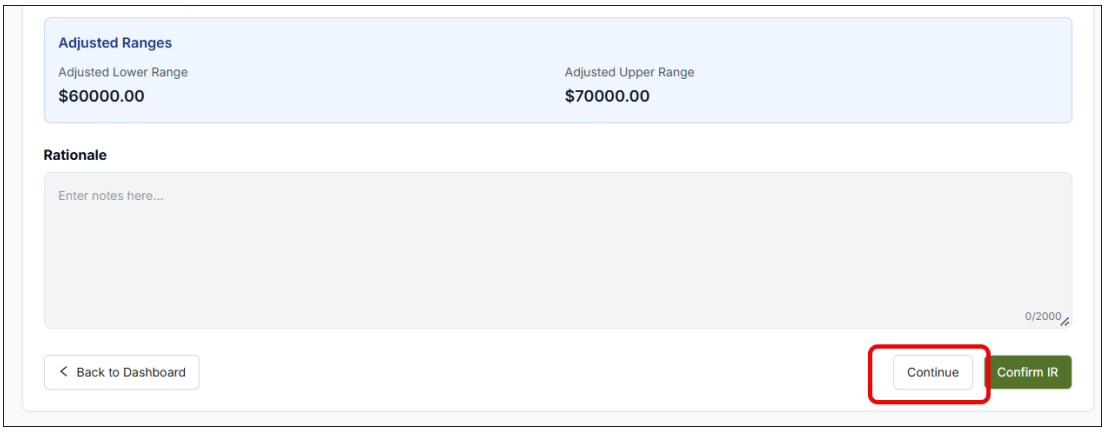

5. The adjusted ranges will be displayed below

6. Type your reason for the changes to the funding range in the *Rationale* field.

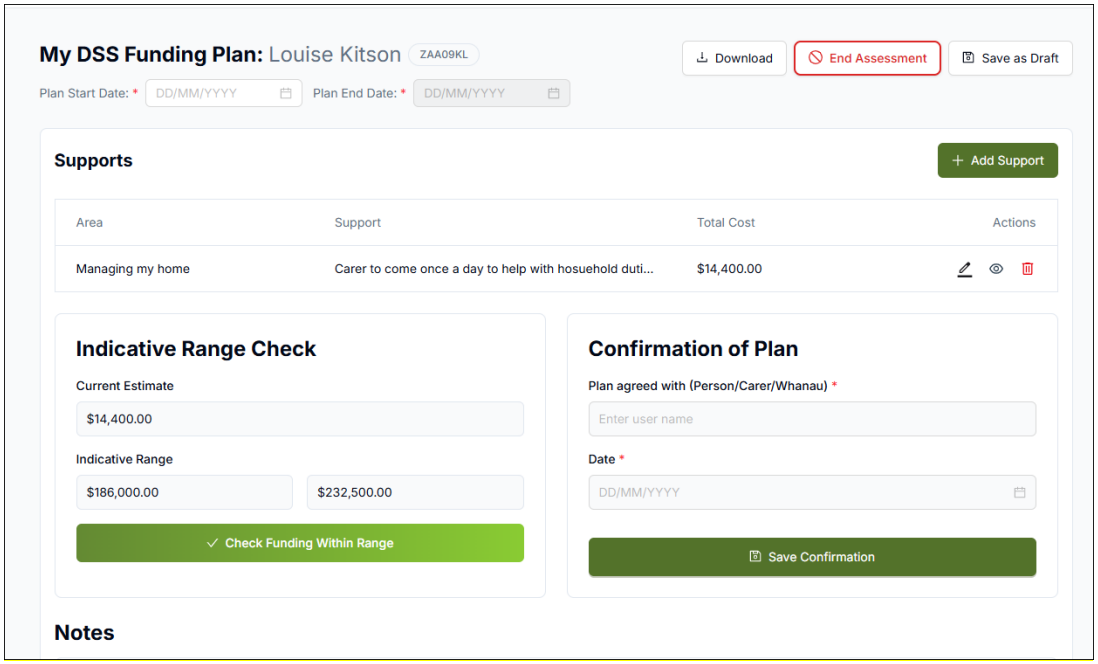
7. Here you can, click **Continue** to move straight to the funding plan without confirming the IR. or click **Confirm IR,** in which case the indicative range confirmation will be completed and, depending on certain criteria described below, sent for manager approval.

### 5.1.1 Option 1: Continue Directly to the Funding Plan

1. To continue directly to the funding plan, click **Continue:**



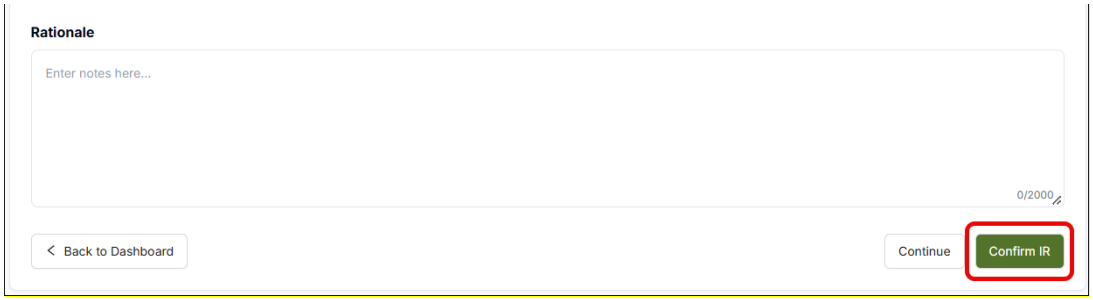

2. This will take you straight to the DSS Funding Plan screen, where you can confirm the plan. If the IR has not been confirmed and the plan is confirmed this will automatically trigger a manager review pop up.




You can click **Back** at any time to return to the Funding page and adjust the override or dual funding. What you have entered on both pages is kept.

### 5.1.2 Option 2: Confirm IR

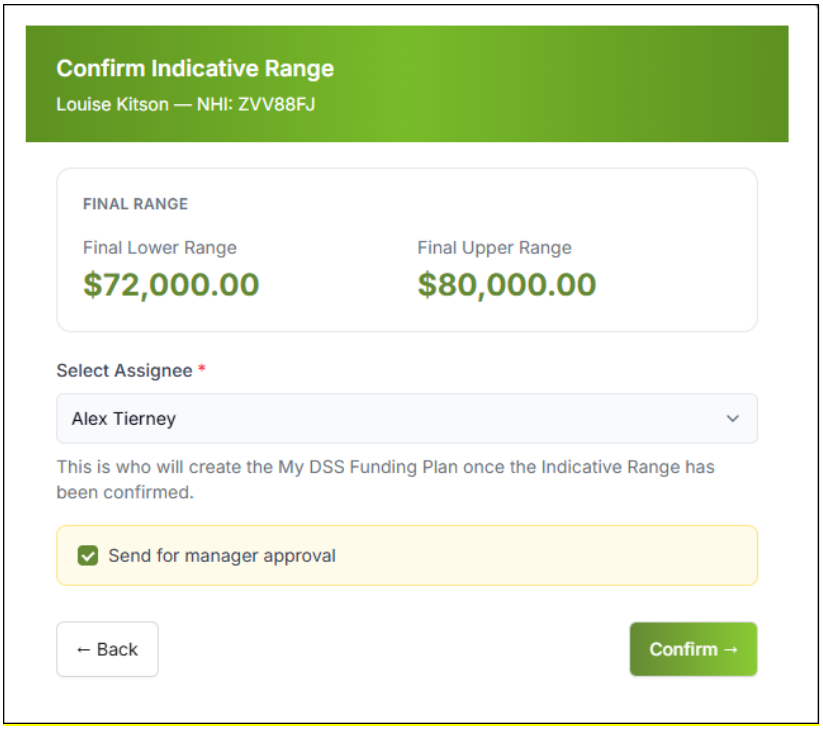
1. Click **Confirm IR:**




2. A pop up will open, displaying the final lower and upper funding range

3. Select the assignee who will manage the funding plan

4. If you wish to send the assessment for manager approval, click the **Send for Manager Approval** checkbox:

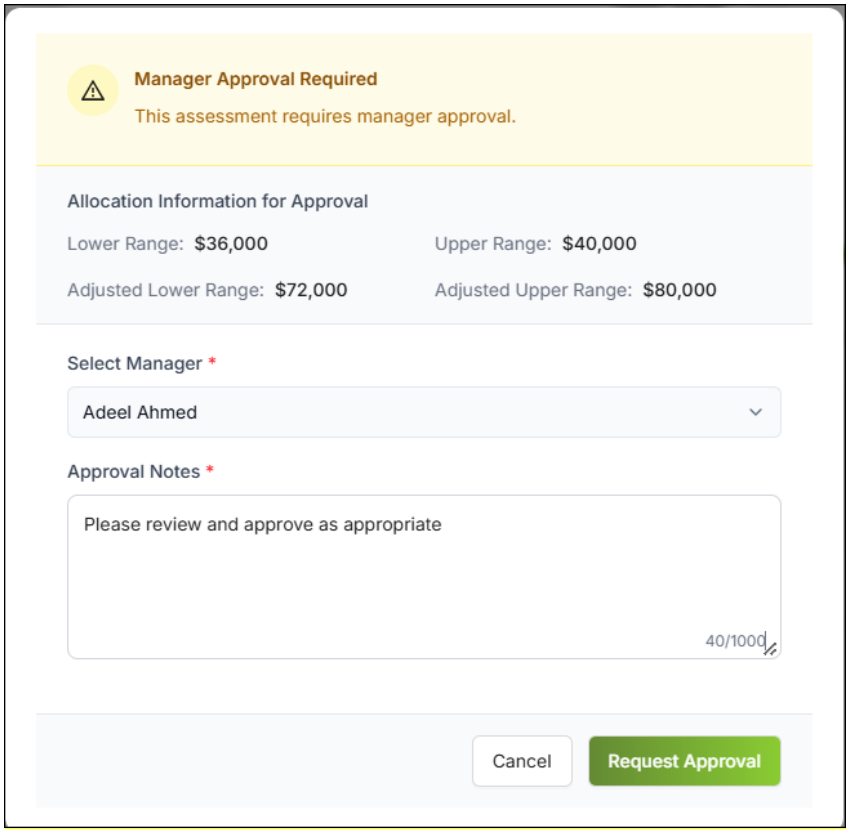



5. Click **Confirm**

6. If you have clicked the **Send for Manager Approval** checkbox, or the funding is above $112,000, or you have overridden the DSS IR calculation, a *Manager Approval* pop up will appear:

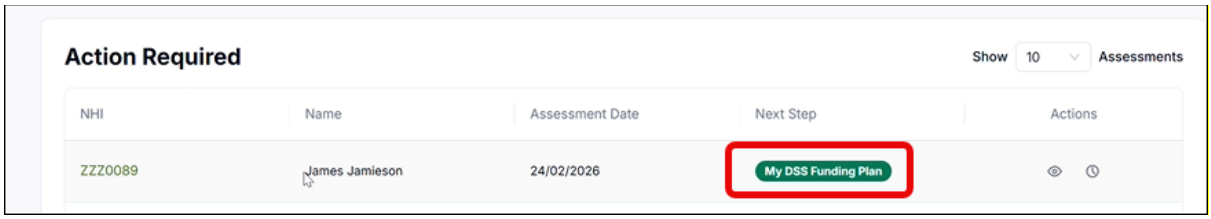
7. Select the manager who will review it, and enter any relevant note for their attention

8. Once you're happy, click **Request Approval:**




If the manager declines, the coordination comes back to you with the status **Declined IR** (see *When an Assessment or Plan Comes Back to You*).

9. Once approved, the funding plan will be assigned to the user you selected in the *Select Assignee* field with a status of *Complete Plan:*




Once the IR is confirmed (and approved, where required), it is locked and can no longer be edited.

# 6 My DSS Funding Plan

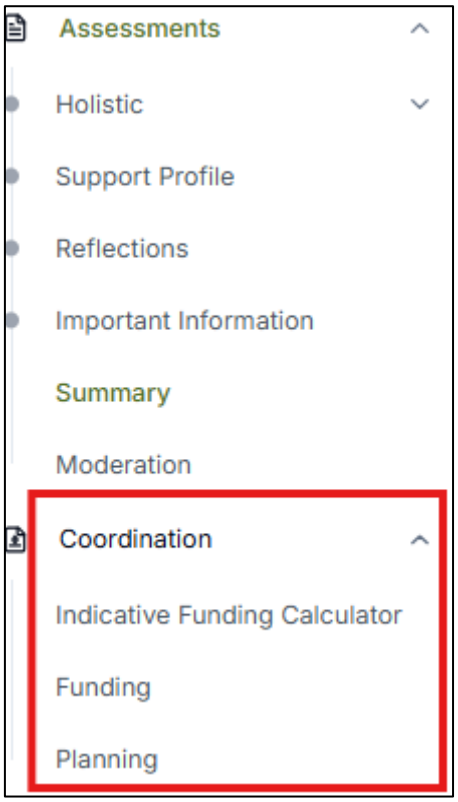
## 6.1 Assessment and Coordination

| | Assessment | Coordination |
|---|---|---|
| What it covers | Capturing the assessment, plus optional moderation | Indicative Range (IR) and My DSS Funding Plan |
| Statuses | Draft → Assessment Completed | Ready for IR → Funding Plan Completed |
| How many | One assessment | One or more coordinations per assessment |

**Navigation**

The left-hand navigation bar shows **Assessment** and **Coordination** as separate groups. Steps are enabled or greyed out depending on your role and the current status. Two menu labels have changed:

| Previous label | New label |
|---|---|
| Allocation | Funding |
| MyDSS Funding Plan | Planning |

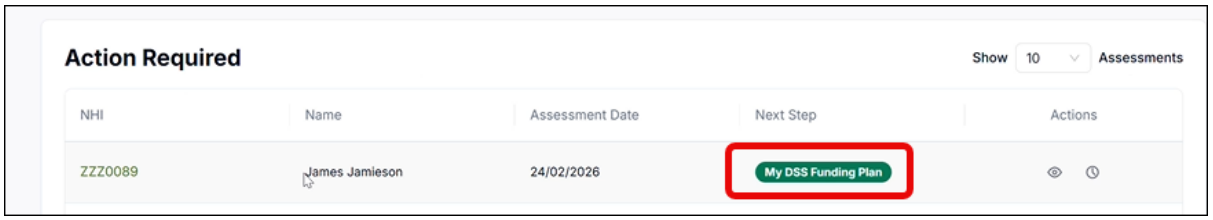


## 6.2 Overview

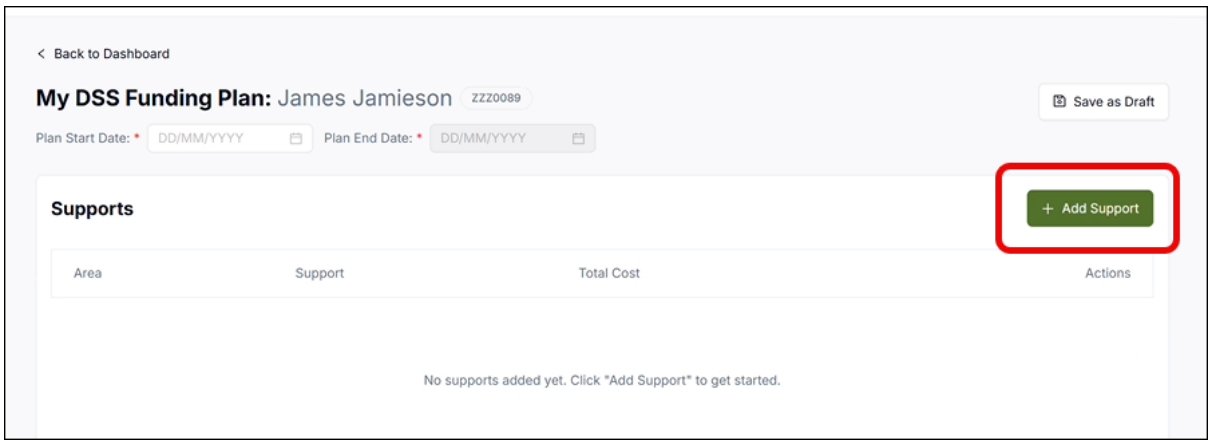
Following completion of the assessment and indicative funding range, the assignee can create the Disabled Person's My DSS Funding Plan which will encompass the supports required, the costs of those supports, and whether the total cost falls within the indicative funding range.

To do so, the assignee can pick up the assessment from their *Actions Required* section on the *Dashboard*.

Simply click on the **My DSS Funding Plan** status next to the assessment:




On the My DSS Funding Plan main page, you will see any supports that were added when carrying out the assessment. You can edit any of the previously added supports, or you can add a new support:




The **Plan ID** is shown on the My DSS Funding Plan screens, so you can see which plan you are working on. You can also search for a plan by its Plan ID on the My DSS Funding Plans tab.

## 6.3 Adding a Support

When adding a support, you can capture:

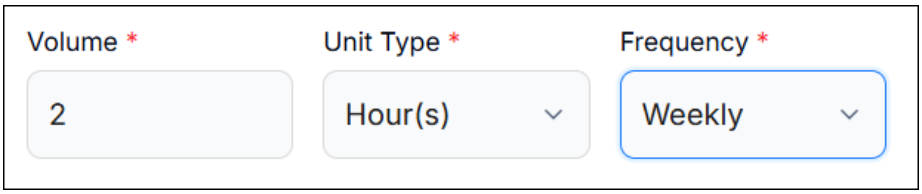
1. *Area:* Select the appropriate 'Area' for the support which captures the support category.

2. *Purpose:* The purpose of the support (i.e. whether it is to help with the Disabled Person's daily routine, life skills, or communication, etc.)

3. *Support:* Details of the support, e.g. *A cleaner to come in twice a week*

4. *Support Start/End Date:* The start and end dates of the required support

5. *Volume, Unit Type* and *Frequency:* In this context, Unit Type refers to hours, days, weeks, etc. and the Volume determines how many of these are required. E.g. if you select Volume = 2, Unit Type = Hours, and Frequency = Weekly, that means the Disabled Person requires the support for two hours every week:




6. *Unit Cost*: This is the cost for each unit type you have selected. E.g. if you selected 2 hours every week, the Unit Cost will be the cost for one of those hours.

7. *Total Cost*: This is automatically calculated by the system and is the total of all unit costs within the support date range you specified

8. *Annualised Cost*: This is how much the support will cost per year (automatically calculated by the system)

9. *Managed By:* Who the support will be managed by

10. *Provider:* The Provider (if applicable) who will be involved in the delivery of this support as part of the Disabled Person's MyDSS Funding Plan.

In the office use only section:

1. The Purpose Code is prepopulated

2. Add the categorisation

3. Mark whether the support is jointly funded

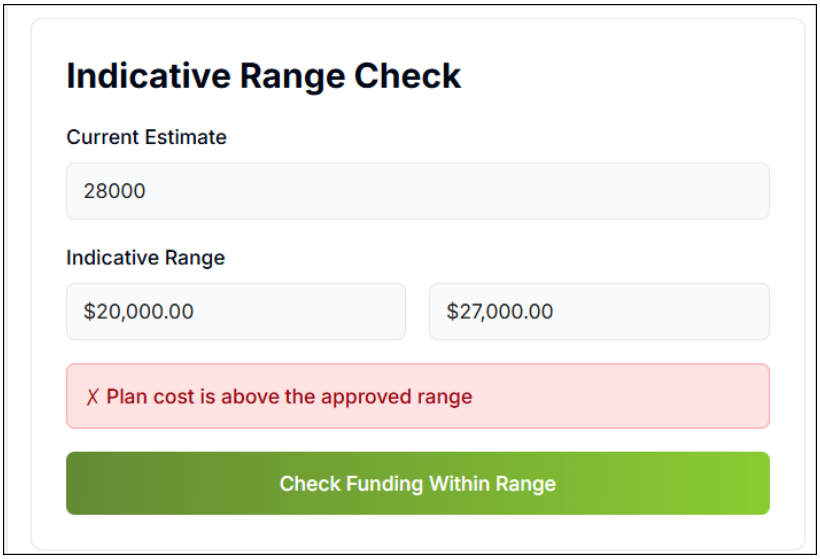
4. The percentage will be prepopulated and is relevant to self-managed host support lines only

5. You can add any notes you wish in the *Notes* field

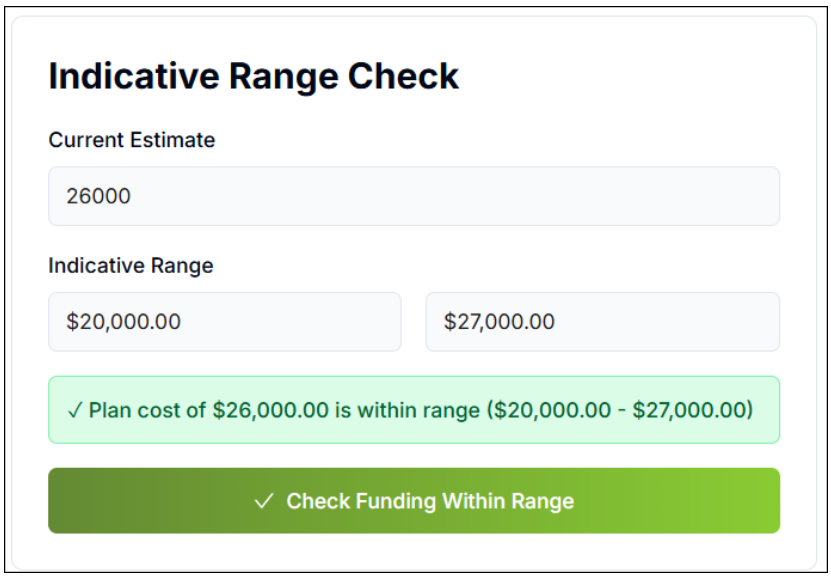
6. Once you are done, click **Add Support**

## 6.4 Support Costs Calculation

The system will calculate the sum of all the supports' total costs and automatically populate the *Current Estimate* field. Click **Check Funding Within Range** and if the current estimate is greater than the indicative funding range, you will see an alert appear:




If it is within the range, you will see a confirmation that it is within range appear:



## 6.5 Saving the Funding Plan as a Draft

Important Note: When a support is added to a MyDSS Funding plan this will now be auto saved by the system.

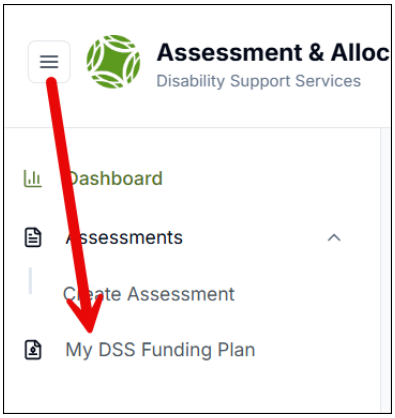
The plan is also saved automatically when you edit a support, click **Check Funding Within Range**, update the Confirmation of Plan, or download the plan. The plan start and end dates, and other mandatory fields, are only checked when you complete the plan.

To manually save the My DSS Funding Plan as a draft:

1. Click the **Save as Draft** button:




2. You can now view the plan in the *My DSS Funding Plan* section, which you can open from the left-hand panel:




3. You can also download the plan from this screen to give to the Disabled Person for review:



### 6.5.1 Backdating a Funding Plan by Over a Week

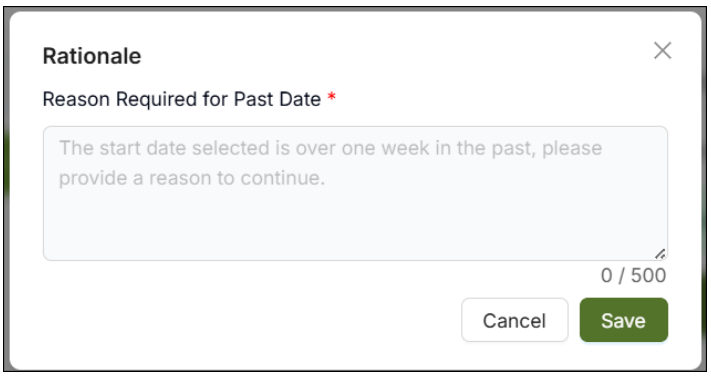
To backdate your My DSS Funding Plan:

1. Open the relevant My DSS Funding Plan

2. Use the *Plan Start Date* and *Plan End Date* fields to set the appropriate dates:




3. If you select a date greater than one week in the past, a pop up will appear, prompting you to provide a reason:




4. Enter your reason in the *Reason Required for Past Date* field

5. Click **Save**

## 6.6 Downloading a My DSS Funding Plan

Downloading My DSS Funding Plans can serve two purposes. One is to share the information with the Disabled Person, and the other is to provide it to official services involved in managing and delivering supports. Because these audiences need different types of information, you can choose from a range of templates when downloading the plans:

- **The MY DSS Funding Plan Standard:** This template is a user-friendly funding plan that can be supplied to the Disabled Person. You can download it in PDF as well as Excel format, to support easy printing by either the Disabled Person or the NASC/EGL organisation who can then provide it to the Disabled Person.

- **The MY DSS Funding Plan**: This template is for supplying to Providers and Hosts. It contains more information than the standard template, and is downloaded in Excel format exclusively.

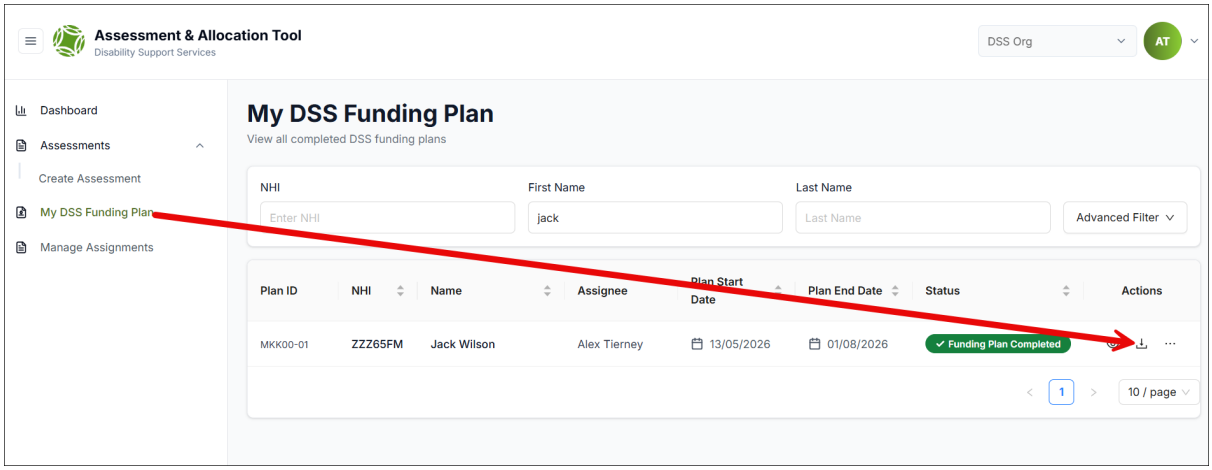
The MyDSS Funding plan can be downloaded from three different places:

a) From the MyDSS Funding Plan page
b) From the persons profile
c) From the within the assessment

Downloading from the MyDSS Funding plan page:

To select the appropriate template for downloading:

a) Go to the *My DSS Funding Plan* screen and click the **Download icon** next to the plan you wish to download:



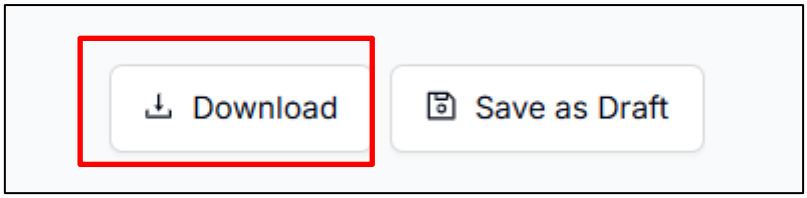

Downloading from the disabled person's profile:

a) Search for the disabled persons profile.
b) Select the eye icon to open
c) Navigate to the events tab
d) Select the download button

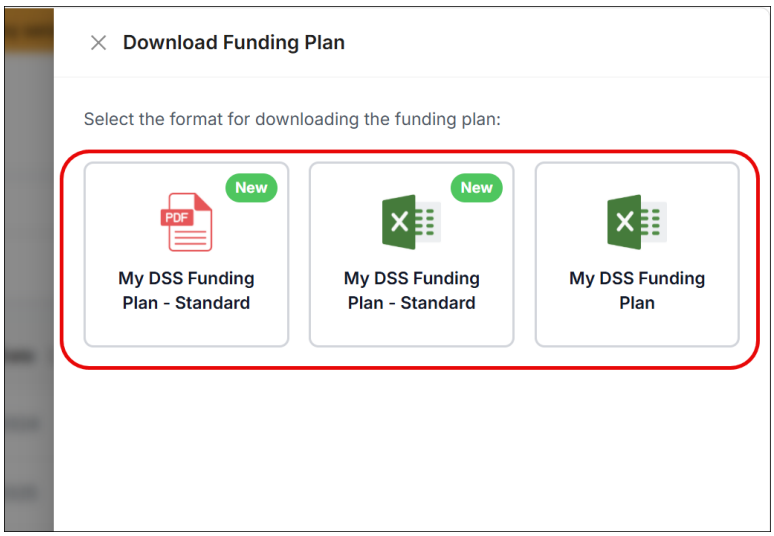



Downloading from within the assessment

a) Open the MyDSS Funding plan
b) Select download



1. You will be shown the options for downloading. Simply click on the desired option to download it:




2. Within the downloaded file, you will be able to see the unique identifiers for the Funding Plan as well as for each support line within the plan. This is to ensure you can easily see which assessment the plan relates to. The convention for the unique identifiers is as follows:

    - The core component of the Funding Plan ID matches the ID of the assessment the plan relates to

    - A single assessment may have multiple Funding Plans over time. Therefore, an extra number is added to the core ID of each Funding Plan. i.e. if an assessment has three Funding Plans, the first Funding Plan will have an extra number of 01, the second will have an extra number of 02, and the third will have an extra number of 03

    - Each Plan or Support Line within each Funding Plan will have its own ID, which is the full Funding ID plus another additional number for each Support Line. I.e. if there are three Support Lines, they will go from 01 to 03.

**The following is a sample illustrating an assessment with two Funding Plans that each contain two Support lines:**

Assessment ID - AB5DE

My DSS Funding Plan - AB5DE-01

Support Line 1: AB5DE-01-01

Support Line 2: AB5DE-01-02

My DSS Funding Plan - AB5DE-02

Support Line 1: AB5DE-02-01

Support Line 2: AB5DE-02-02

Support Line 3 AB5DE-02-03

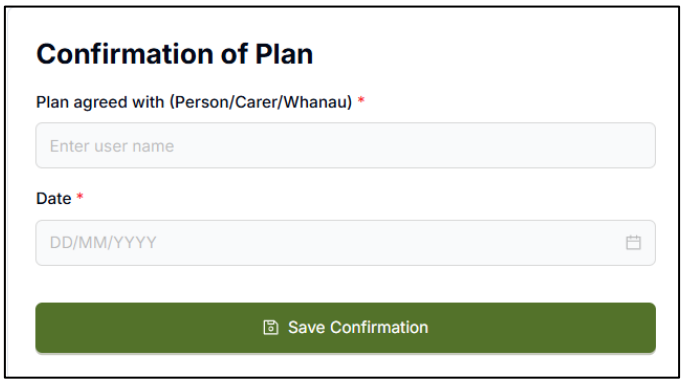
## 6.7 Disabled Person Sign Off

You can record that the Disabled Person has signed off on their My DSS Funding Plan. To do so:

1. Open the Funding Plan and enter the name of the Disabled Person or their carer/whanau in the *Plan agreed with (Person/Carer/Whanau)* field

2. Enter the date in the *Date* field

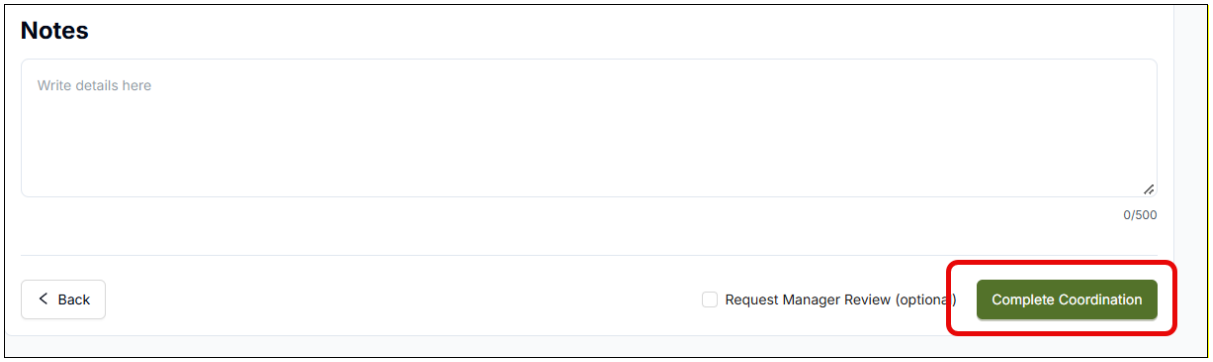
3. Click **Save Confirmation:**




## 6.8 Completing the Funding Plan

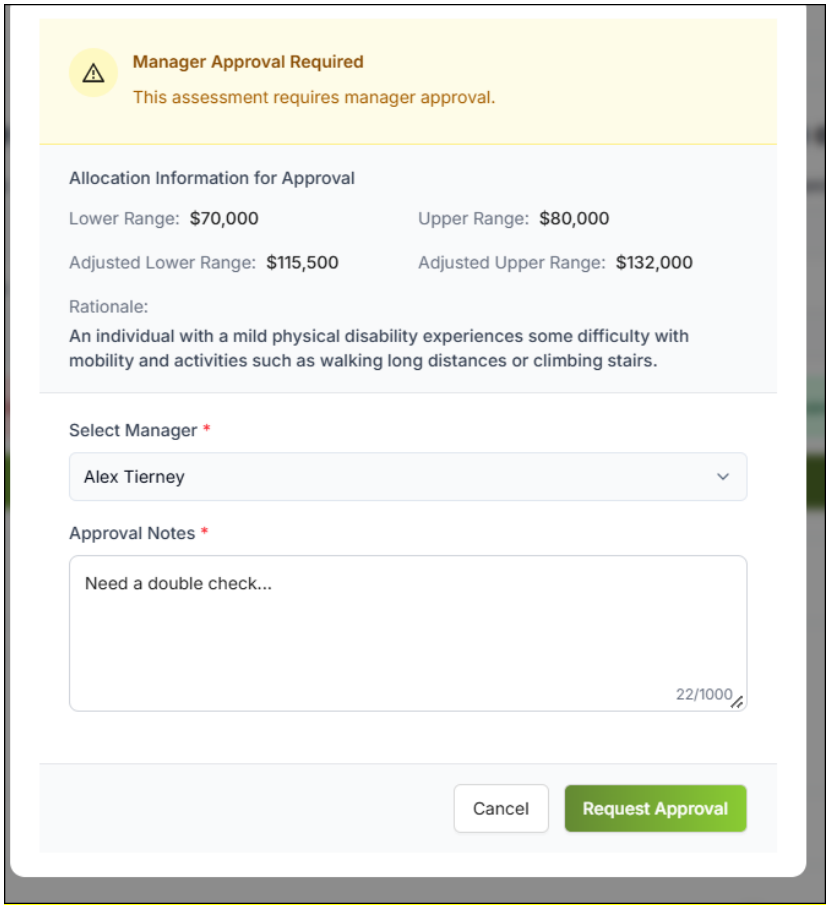
You can enter any notes regarding the funding plan in the *Notes* field.

Once you are happy, click **Complete Coordination** to complete the My DSS Funding Plan. When the plan is complete it is **no longer editable:**




If you mark the **Request Manager Review** checkbox, or if the Indicative Range was not confirmed, a pop up will automatically appear, obliging you to send a manager approval request.

In that case, select the manager, enter your notes for their attention, and click **Request Approval**:




If the plan already went through manager approval during the Confirm IR phase, then manager approval won't be triggered at this stage, unless you manually mark the checkbox or the support costs fall outside the indicative funding range.

Once the plan has been approved, it will change to a status of *Funding Plan Completed.*

If the manager declines the plan, it comes back to you with the status **Declined Plan** (see *When an Assessment or Plan Comes Back to You*).

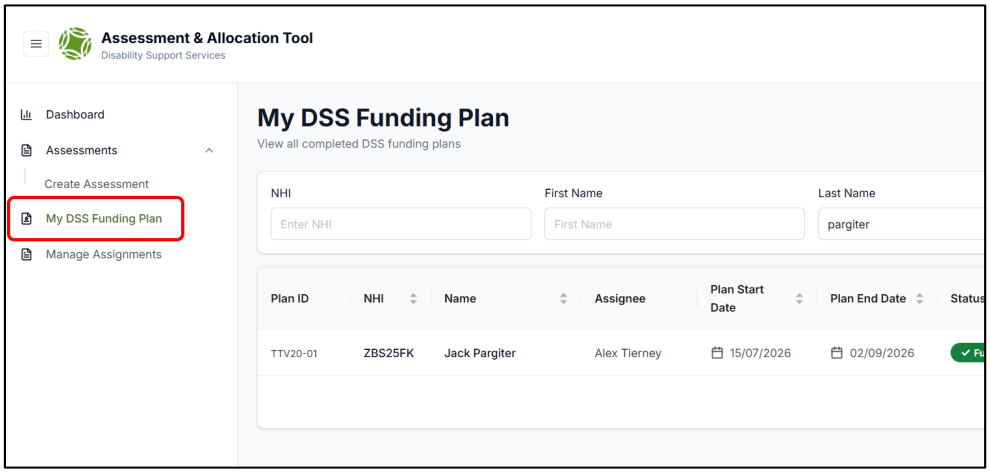
## 6.9 Creating an Additional Funding Plan

My DSS Funding Plans usually last for 12 months at a time, while assessments typically have a five-year duration. This means one assessment will require multiple funding plans over the course of its lifespan.

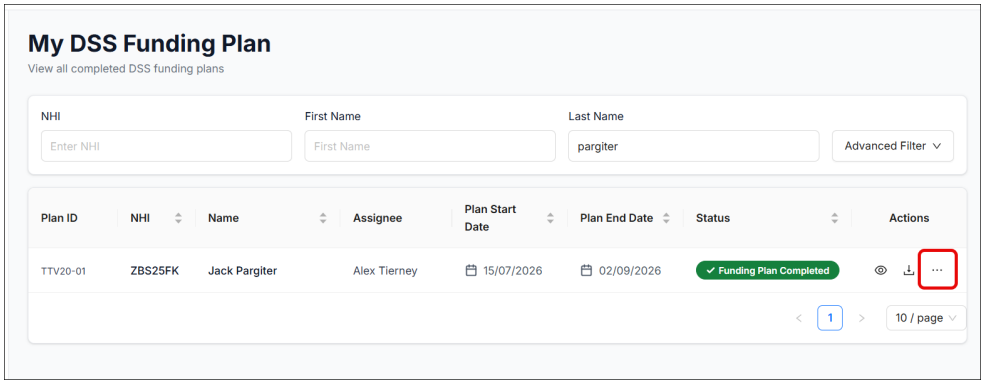
To support this, Socrates v2enables users to generate multiple funding plans for the same assessment.

Once an assessment has a My DSS Funding Plan, you can create additional funding plans by doing the following:

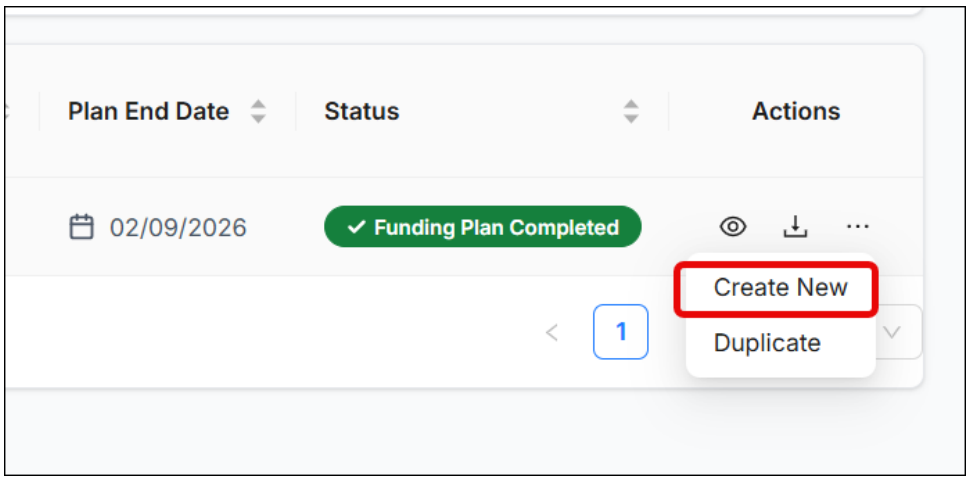
1. Click **My DSS Funding Plan** in the left menu to open the *My DSS Funding Plan* screen:



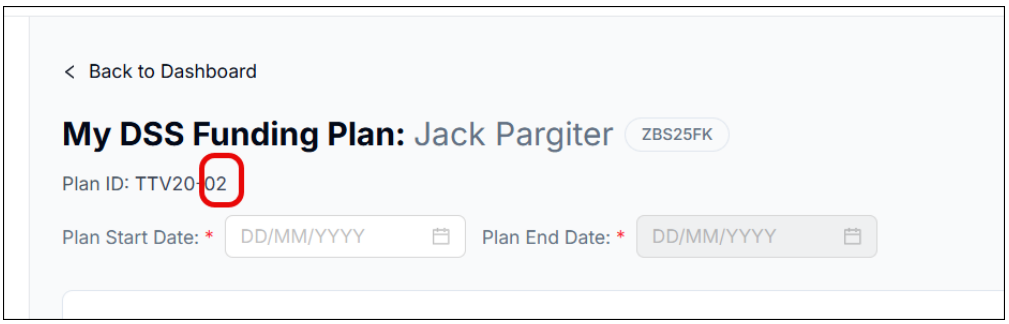

Find the Disabled Person you want to add an additional funding plan for. If their status is Funding Plan Completed, you can add another funding plan by clicking the three dots icon:



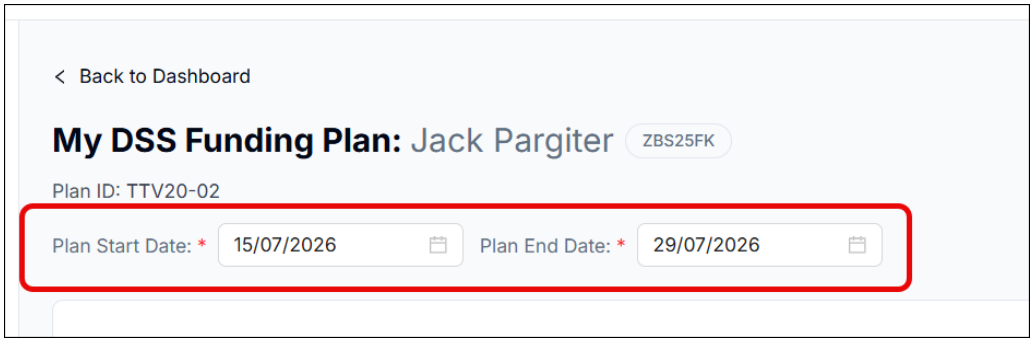

2. Click Create New:



3. The Plan ID increases by 1 each time a new plan is created:




4. Select the new plan start and end date:

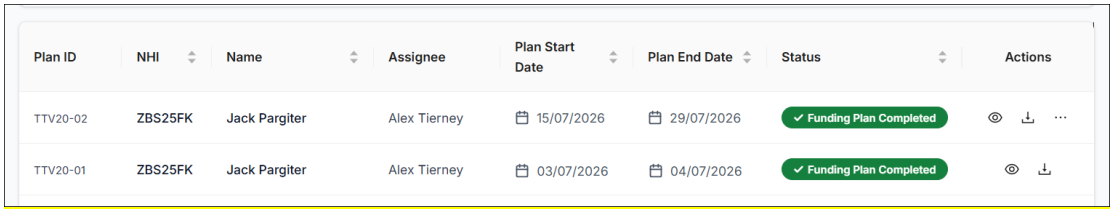



5. Then add your supports as you normally would

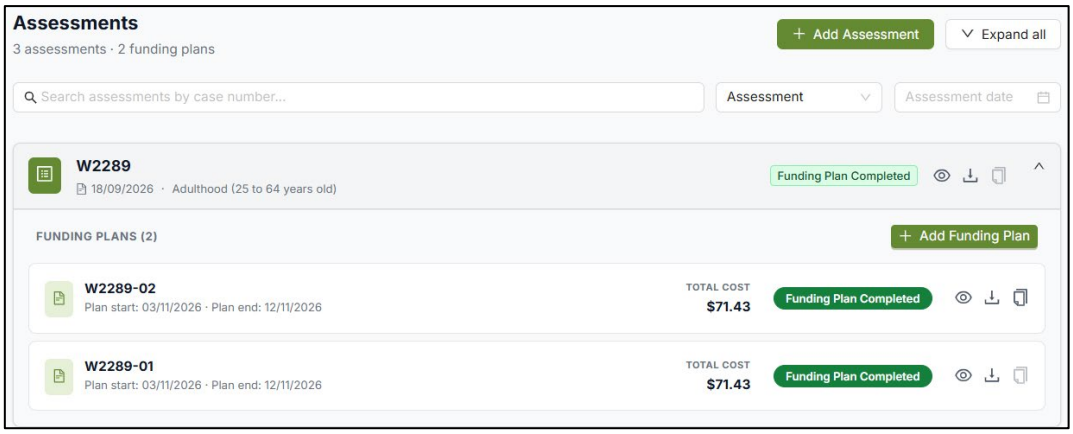
6. Use the Indicative Range Check section to check the funding is within range

7. Fill out and save the Confirmation of Plan

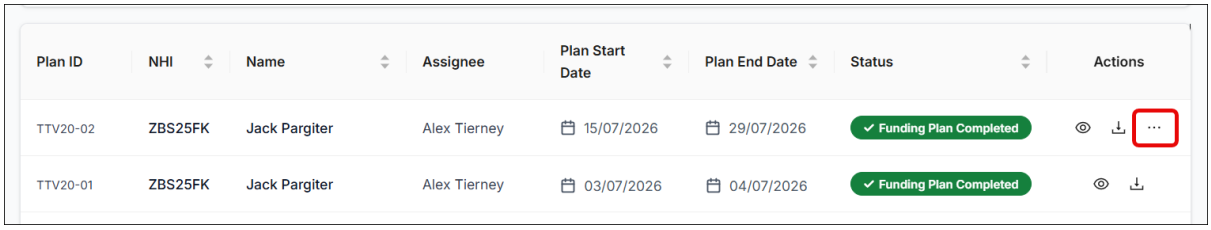
8. Once you click Complete, you will see the two plans sitting within your My DSS Funding Plan grid:



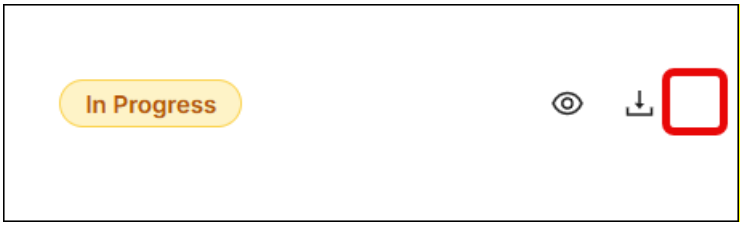
9. In the events page of the person profile the funding plans will be nestled under the assessment




**Please Note:** If you have multiple funding plans with a status of *Funding Plan Completed,* you will only be able to use the most recent plan to create a new one:




In addition, you can only access the **Create New** option if a plan has a status of *Funding Plan Completed*. If the plan has a status of *In Progress,* there will be no three dot icon for you to select **Create New**:



## 6.10 Duplicating a Funding Plan

If you want to create a new plan that contains largely the same information as the previous plan, then you can duplicate the previous plan. This creates a new version of the plan with its own unique Plan ID, which you can then complete, or adjust in whatever way you need to.

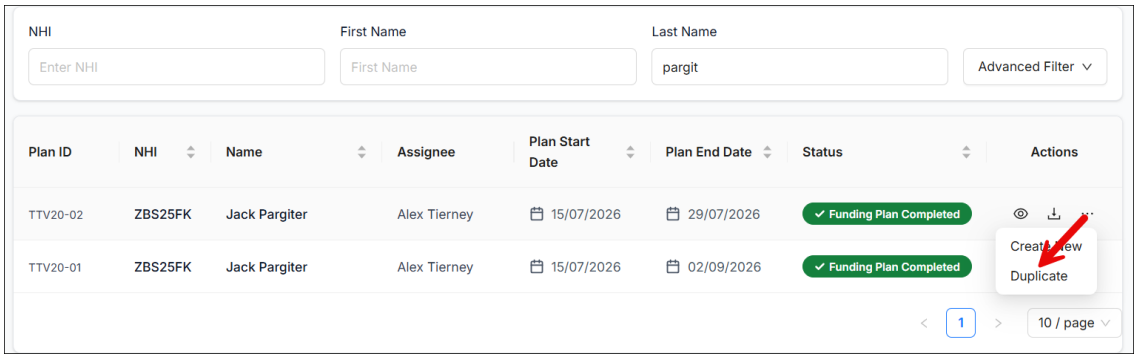
The advantage to duplicating a plan, as opposed to creating a new one, is that all the supports added for the previous plan will be automatically added to the duplicate. So if the supports haven't changed, you can simply add the new plan dates, check the indicative range, sign the confirmation, and complete the plan

On the other hand, if any supports were added or taken away, you can easily make these edits within the plan before confirming and completing

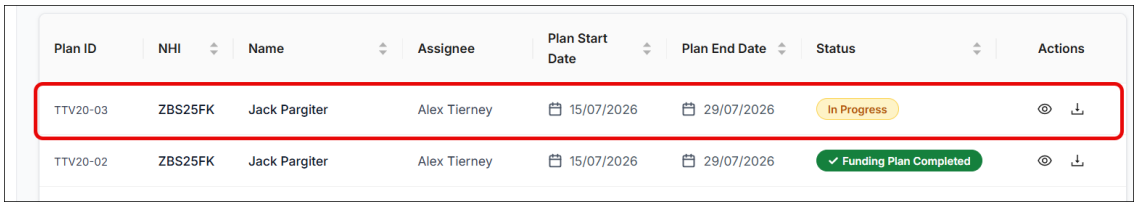
There are two ways to duplicate a funding plan:

a) To duplicate a funding plan from the MyDSS Funding plan page:

1. Open the *My DSS Funding Plan* section
2. Find the relevant person/funding plan
3. Click the **three dots** icon next to them and select **Duplicate:**




4. A duplicate version of the plan will immediately appear in the grid with a status of *In Progress*:




5. Click the *In Progress* status to open the plan. You can then carry out any necessary edits and/or confirm and complete the plan.

b) To duplicate a funding plan from the person profile:

1. Search for the disabled persons profile.
2. Select the eye icon to open

3. Navigate to the events tab
4. Select the duplicate button




5. A new plan will open with the support duplicated from the previous plan.

**Please Note:** you cannot have multiple versions of the same plan with a status of *In Progress*. The plan has to be updated to a status of *Funding Plan Completed* before you can use the duplicate function.

# 7 When an Assessment or Plan Comes Back to You

Sometimes an assessment, Indicative Range or plan is sent back to you to update or check. When this happens, it appears in your **Action Required** list on the Dashboard and you receive a notification. The status tells you why it has come back:

| Status | Sent back by | Why | What you do |
|---|---|---|---|
| Information Requested | Moderator, or DSS team | More detail is needed before it can move on | Update the assessment and send it on again |
| Moderation Completed | Moderator | Moderation is finished | Complete the assessment |
| Declined IR | Manager | The manager did not approve the Indicative Range | Review the IR and confirm it again |
| Declined Plan | Manager | The manager did not approve the My DSS Funding Plan | Update the plan and resubmit it |

## 7.1 Finding the Reason

Before making changes, check why it was returned:

- For a manager decline, the manager must enter a reason when they decline. This can be found in the history of the assessment.
- For Information Requested, read the reason and notes left by the moderator or DSS team. This can be found in the history of the assessment.
- Every hand-back is recorded in the assessment's status History, with the user's full name and the date and time.

## 7.2 Information Requested

1. See the **Information Requested** status in your Action Required list.
2. Read the reason and notes from the moderator or DSS team in the history of the assessment.
3. Clickthe **Information Requested** status in your Action Required list. The assessment opens.
4. Update the assessment as needed.
5. Send it for moderation or IR calculation.
    - If it came from a moderator: go to the **Moderation** screen and either send it back for moderation by choosing a moderator from the drop down list and

clicking send for moderation, or complete the assessment if moderation is no longer required (see *Moderation*)
- If it came from the DSS team: make the changes and resubmit it for Indicative Range calculation

## 7.3 Declined IR

A manager has declined the Indicative Range you confirmed. To respond:

1. See the **Declined IR** status in your Action Required list.
2. Read the manager's reason from the history button.
3. Click the **Declined IR** status in your Action Required list.
4. On the **Funding page,** review and adjust the override and dual funding or rationale as needed.
5. Confirm the IR again (see *Option 2: Confirm IR*). If the business rules still aren't met, or you tick the manager approval checkbox, it goes back to a manager for approval.

## 7.4 Declined Plan

A manager has declined the My DSS Funding Plan. To respond:

1. See the **Declined Plan** status in your Action Required list.
2. Read the manager's reason from the history button.
3. Click the **Declined Plan** status in your Action Required list.
4. Open the plan and update the supports, costs or dates as needed. Your changes are saved automatically as you work.
5. Click **Confirm Coordination** to resubmit the plan. Business rules are checked again. If they still aren't met, or you tick the Request Manager Review checkbox, it goes back to a manager.