

10/10/2003

# ***System Build 16 Job Aid***

## ***Changes to CPS Functions***



**CONNECTIONS Training Project  
SUNY Training Strategies Group**

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**CONNECTIONS - System Build 16 Job Aid  
Changes to CPS Functions**

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This job aid is available online:

- In the Public Folders:  
*All Public Folders > Statewide > CONNECTIONS > Build 16*
- On the CONNECTIONS Intranet site:  
*DFA Intranet Site > OCFS Home page > CONNECTIONS > Desk and Job Aids*

In addition to this Job Aid, the following Build 16 Job Aids are available:

- Changes to Safety Assessment
- Changes to Progress Notes
- Risk Assessment Profile (RAP)

The CONNECTIONS Intranet site also contains information about CONNECTIONS training.



# Introduction

This Job Aid provides information about additional changes to CPS functions in CONNECTIONS that are being introduced with Build 16.

Specifically, this Job Aid contains information about the following:

- Changes to the CPRS
  - ▷ New tabs (Local Protocol, Progress Notes, Risk Assessment)
  - ▷ Changes to existing tabs (Safety Assessment)
  - ▷ Removal of pre-Build 16 tabs (Local Notes, Supportive District Notes, Supervisory Review & Comments)
  - ▷ The addition of *CPS Investigation Conclusion* window fields on the **Investigative Findings** tab
  - ▷ Ease-of-use enhancements to the **Case Identification** and **Household Composition** tabs, as well as to the CPRS header and footer
- Changes to the *CPS Investigation Conclusion* window, *Task List* and *Person List*
- Changes to Local Data Maintenance to reflect RAP functionality
- New functionality that supports the consolidation of open Investigation stages
- Confirmation functionality for fatality reports with no surviving children
- A new view-only *Approval Status* window in the CPRS
- The ability to create and assign Task To-Do's for the Safety Assessment and Progress Notes
- Ease-of-use enhancements for copying and pasting within the CPRS
- Enhancement of the Auto Recovery functionality to enable workers to retrieve certain documents without contacting the Help Desk

## Pre-Build 16 vs. Implemented Stages

All CPS stages (Intake and Investigation) with an Intake date *preceding* the implementation of Build 16 will use the pre-Build 16 CPRS functionality and structure. These stages are referred to as “Pre-Build 16.” For example, the *Task List* and CPRS will display exactly as they did prior to Build 16, the Safety Assessment and Progress Notes will still be documented as they were before, and the Risk Assessment will be recorded externally via the WebRAP. Workers may want to print hard copies of any Risk Assessments that were recorded in the WebRAP prior to the implementation of Build 16, because after 90 days from the date of implementation these documents will not be available.

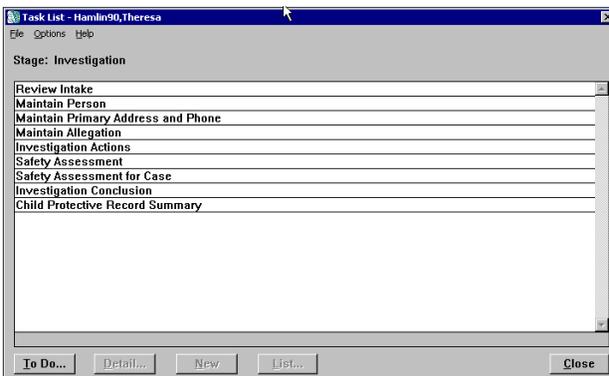
All CPS stages with an Intake date *on or after* Build 16 implementation will use the new functionality and structure described throughout this job aid. These stages are referred to as “Implemented.” (See the Pre-Build 16 and Implemented *Child Protective Record Summary* windows on page 8.)

Because a CPS case can contain multiple Intake and Investigation stages, some cases will contain both implemented and pre-Build 16 stages. For example, if a case contains both an implemented stage and a pre-Build 16 stage, the pre-Build 16 stage will look and function the same way it did before Build 16. The implemented stage will display and function in accordance with the new structure.

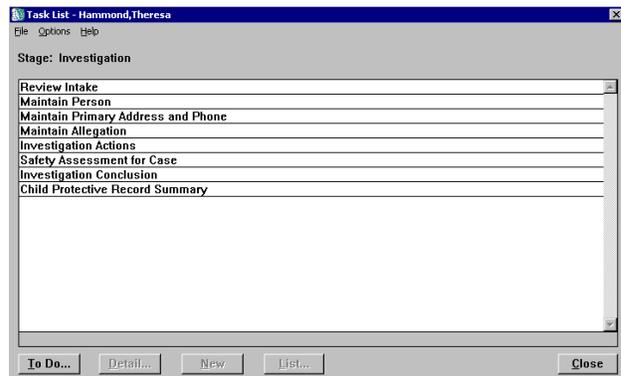
## Changes to the *Task List*

With the implementation of Build 16, the **Safety Assessment** task will no longer be listed on the *Task List* because it will be accessed through the CPRS. This is the only change to the *Task List*. The *Task Lists* shown below represent a pre-Build 16 stage vs. an implemented stage.

**Pre-Build 16 Task List**



**Implemented Task List**



## CPRS Tab Focus

For implemented stages, the tab that will be “in focus” when the CPRS is opened will be dependent on the manner in which the worker accesses the CPRS:

Access Method	CPRS Tab in Focus
<b>CPRS</b> task ( <i>Task List</i> )	Case Identification
<b>Enter Progress Notes</b> command ( <b>Options</b> menu, <i>Case Summary</i> window)	<b>Progress Notes</b> tab ( <i>Progress Notes Detail</i> window open); all other tabs disabled
Task To-Do	The tab/detail window pertaining to the To-Do being accessed (e.g., Progress Notes or Safety Assessment)
<i>Event List</i>	CPRS event: <b>Case Identification</b> tab Safety Assessment event: <b>Safety Assessment</b> tab ( <i>Safety Assessment Detail</i> window open) Risk Assessment event: <b>Risk Assessment</b> tab

## New CPRS Functionality

The implementation of Build 16 will significantly enhance the Child Protective Record Summary (CPRS), including new functionality and tabs, as well as the removal or renaming of other tabs.

The most noticeable and significant enhancement being made in Build 16 is the addition of three new pieces of functionality, which have been developed in preparation for the next phase of CONNECTIONS case management implementation.

- **Safety Assessment**

The Safety Assessment functionality will be fully integrated into the CPRS with Build 16, with a new CPRS **Safety Assessment** tab replacing the existing Safety Assessment functionality. The new functionality will enable workers to record safety factors for the child(ren) and specify which of the selected safety factors (if any) place the child(ren) in immediate danger of serious harm. Then workers will use this information to document a safety decision for the child(ren) and determine whether interventions need to occur to protect the safety of the child(ren).

*The new Safety Assessment functionality is covered in detail in the Safety Assessment Job Aid.*

- **Risk Assessment**

Build 16 will add new functionality to the CPRS to enable caseworkers to document the risk of future abuse or maltreatment. Previously, this information was recorded in the WebRAP. The new **Risk Assess Profile** tab will enable caseworkers to record information about risk elements and elevated risk elements as they pertain to the investigation. One Risk Assessment Profile (RAP) will exist for each investigation. The

RAP must be completed before the Investigation Conclusion can be submitted for supervisory approval.

*The new RAP functionality is covered in detail in the RAP Job Aid.*

- **Progress Notes**

In a previous Build, Progress Notes were recorded in the CPRS via templates. A new CPRS **Progress Notes** tab will provide a uniform and effective mechanism for staff to document casework contacts and progress notes. This new functionality does *not* change the purpose of Progress Notes; rather, it forms a new method of documentation. Staff will be able to search, print, copy and combine this information for use in monitoring their assigned investigations.

*The new Progress Notes functionality is covered in detail in the Progress Notes Job Aid.*

## Changes to the CPRS

In addition to the new functionality, some tabs have been added to the CPRS, while others have been removed or renamed. The screen graphics on page 8 illustrate the differences between the CPRS tabs for pre-Build 16 and implemented stages. The table on page 9 summarizes the changes to the CPRS tabs.

### CPRS Header and Footer

Build 16 will include the following changes to the Header in the CPRS:

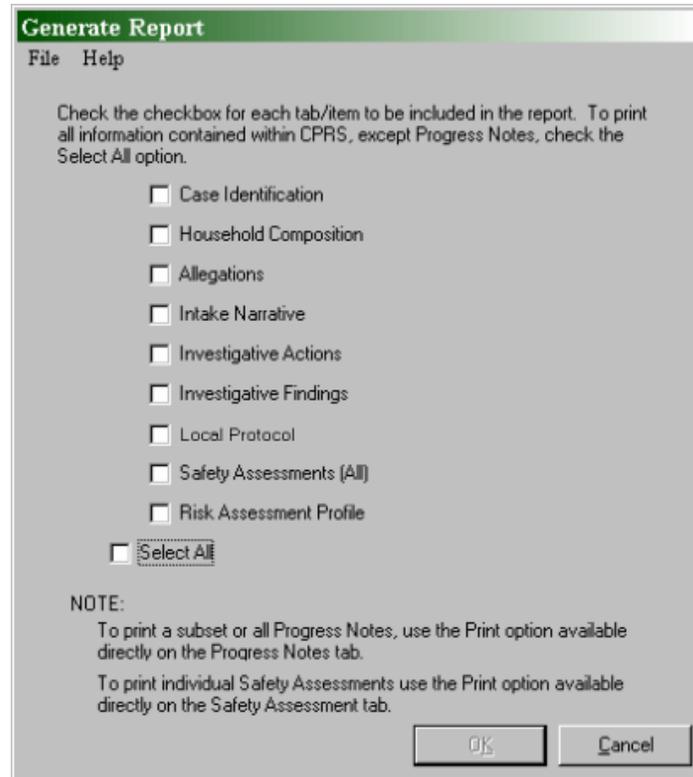
- NYC **High Priority** and **CD** fields will be included in the Header.
- “Fatality Report” will display if a DOA/Fatality allegation is associated with the stage.
- The WMS Case Number will display if it was recorded in the **WMS Case Number** field on the *CPS Investigation Conclusion* window. When the WMS number is validated and saved and the worker goes to the next most recent stage, the WMS number will pre-populate the field.

Build 16 will include the following changes to the Footer in the CPRS:

- The former **Print All** button in the Footer will be renamed **Generate Report** for all implemented stages. (See “Generate Report Functionality” on page 7.)
- The **Intake Narrative** button will be moved from the **Allegations** tab to the Footer.

## Generate Report Functionality

The **Generate Report** button (which replaces the former **Print All** button in the CPRS Footer) will open the *Generate Report* window. From this window, workers can select the specific CPRS tabs they want to print by clicking on the corresponding check box(es). To print all information in the CPRS (except Progress Notes), click on the **Select All** check box.



The **Local Protocol** check box will enable only for those districts that have submitted a Local Protocol template. (See “The Local Protocol Tab” on page 11 for information about the Local Protocol functionality.)

This window will *not* be used for printing Progress Notes or individual Safety Assessments. Use the Progress Notes tab and Safety Assessment tab, respectively, to print these items.

## “Text Control” Narrative Fields

Several windows in the CPRS will include a new “text control” narrative field that contains formatting capability similar to Microsoft Word. These narrative fields will accommodate much larger amounts of text than was commonly available in CONNECTIONS prior to Build 16.

Workers can use the toolbar in the narrative field to change the formatting (bulleted and/or numbered lists, indentation, etc.) to make the narrative easier to read. There is also a zoom function available from the toolbar that enlarges the field.

These narrative fields will include an **Auto Save** function that will save the narrative to a Temporary folder on the worker’s hard drive every three minutes. This function is useful if power is lost to the computer, or the system crashes and the worker has not saved his/her work. The worker will be able to retrieve the document from the **Local Save** folder on the Citrix desktop’s **Start** menu. See “Retrieving Narratives After Losing the System Connection” on page 21 for step-by-step instructions on recovering auto-saved narratives.



Pre-Build 16 Tab	Build 16 Change (Implemented Stages)
<b>Case Identification</b>	A new <b>Event Status</b> column will be added between the existing <b>Det.</b> (Determination) and <b>Reason Stage Closed</b> columns.
<b>Household Composition</b>	<p>The existing <b>SSN</b> and <b>Religion</b> columns will be moved to the far right end of the upper grid. <b>Ethnicity</b> and <b>Race</b> columns will be added.</p> <p>The new column order will be:</p> <ul style="list-style-type: none"> <li>• Address</li> <li>• Name</li> <li>• Person ID</li> <li>• Rel/Int</li> <li>• DOB</li> <li>• Sex</li> <li>• Role</li> <li>• Ethnicity</li> <li>• Race</li> <li>• Language</li> <li>• SSN</li> <li>• Religion</li> </ul> <p>All of the information on this tab is transferred automatically from the <i>Person Detail</i> windows for all individuals on the <i>Person List</i> for the stage. This information cannot be modified within the CPRS; to change this information, the worker must do so from the <i>Person Detail</i> window via the <b>Maintain Person</b> task on the <i>Task List</i>.</p>
<b>Allegations</b>	A new <b>Reporter/Source</b> button will be added to the tab. This button will open the new <i>Reporter/Source</i> window, which will display the Name, Relationship, Address and Phone for the Reporter and Source of the report. This window will be view-only. In order to open this window, the worker's BFP must include the VIEW RPTR/SOURC Business Function.
<b>Safety Assessment</b>	The previous view-only <b>Safety Assessment</b> tab will be replaced with new functionality that supports direct data entry. (See "Safety Assessment" on page 5.)
<b>Investigative Actions</b>	No change.

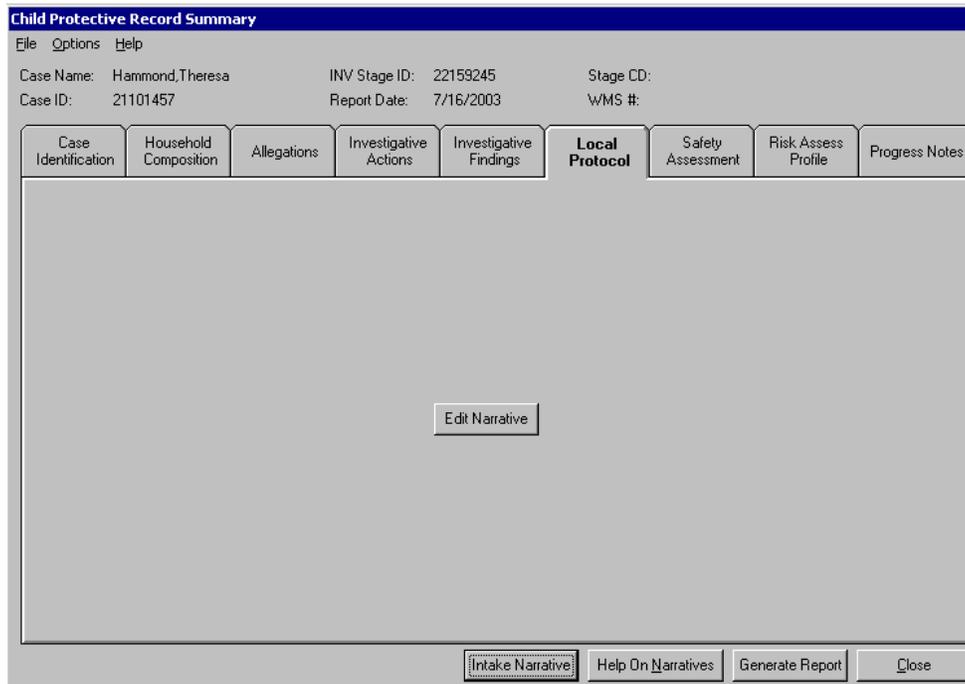
Table continued on next page ►

Pre-Build 16 Tab	Build 16 Change (Implemented Stages)	
<i>(Table continued from previous page)</i>		
<b>Investigative Findings</b>	<p>Two fields added to the <i>CPS Investigation Conclusion</i> window in Build 15.2 will display on this tab:</p> <ul style="list-style-type: none"> <li>• WMS Case Number</li> <li>• Validated WMS Case Number (check box)</li> </ul> <p>The following new fields added in Build 16 will also display on the <b>Investigative Findings</b> tab:</p> <ul style="list-style-type: none"> <li>• Duplicate Investigation Number</li> <li>• Fatality – No Surviving Children (check box)</li> </ul> <p>In addition, the <b>Final Risk Rating</b> from the RAP will display on this tab. If any of the Elevated Risk Elements are selected in the RAP, an “Elevated Risk Exists” label will display on this tab.</p> <p>This tab also displays several dates from the <i>CPS Investigation Conclusion</i> window:</p> <ul style="list-style-type: none"> <li>• Investigation Begun Date</li> <li>• Investigation Complete Date</li> <li>• Incident Date and Time</li> </ul> <p>All of these fields will be <i>view-only</i> on the tab.</p>	
<b>Notes</b>	<p style="text-align: center;"><b>With the implementation of Build 16, all three of these functions will be located in Progress Notes</b></p>	
<b>Supportive District Notes</b>		<p>Prior to Build 16, this tab contained a narrative template that primary district caseworkers used for recording progress notes. With the implementation of Build 16, this process will be performed via the new <b>Progress Notes</b> tab (covered in detail in the Progress Notes Job Aid). The former <b>Notes</b> tab will be renamed the <b>Local Protocol</b> tab; it will be available only to those districts that currently have a supported local template. The districts that have a supported local template are ACS, Delaware, Erie, Putnam, Schoharie and Suffolk. (See “The Local Protocol Tab” on page 11 for details.)</p>
<b>Supervisory Review Comments</b>		<p>Prior to Build 16, this tab contained a narrative template for recording supervisory review comments. With the implementation of Build 16, this process will be completed via the new <b>Progress Notes</b> tab. Supervisory Review Comments will no longer be visible for implemented stages.</p>

### The Local Protocol Tab

The **Local Protocol** tab will provide workers with a district-specific template for recording information required by their local district’s policy and procedures. This tab will enable only for local districts that have submitted a template. Thus far, the districts that have submitted a template are ACS, Delaware, Erie, Putnam, Schoharie and Suffolk. For all other districts, this tab will be disabled.

When the **Local Protocol** tab is accessed for the first time, the Local Protocol template will display. If the worker remains on the tab after the initial save, s/he will click on the **Edit Narrative** button in the middle of the tab to re-open the document for viewing or editing. If the worker leaves the **Local Protocol** tab or closes and reopens the CPRS, the Local Protocol narrative will display.



The table below illustrates how the availability of the **Local Protocol** tab (and any information it may contain) is affected when a stage is reassigned from one local district to another. In the table, District A is the originally assigned (“previous”) district and District B is the newly assigned (“new”) district for the stage.

		District B	
		<i><b>HAS a Local Protocol Template</b></i>	<i><b>Does NOT Have a Local Protocol Template</b></i>
<b>District A</b>	<i><b>HAS a Local Protocol Template (information recorded)</b></i>	District A’s template will continue to be used for the life of the investigation.	District B will be able to access the <b>Local Protocol</b> tab in view-only mode to view the formatted information recorded by District A.
	<i><b>Does NOT Have a Local Protocol Template</b></i>	The <b>Local Protocol</b> tab will be enabled and will contain District B’s Local Protocol template.	The <b>Local Protocol</b> tab will be disabled for both districts, since no Local Protocol template exists.

# Changes to the CPS Investigation Conclusion Window

Build 16 adds the following items to the *CPS Investigation Conclusion* window:

- **Submit** button
- **Comments** button and **High Risk Comments** check box
- **Fatality – No Surviving Children** check box
- **Duplicate Stage ID**
- **Final Risk Rating**
- **Elevated Risk Indicator**

## Submit Button

The **Submit** button is an ease-of-use enhancement that will have the same functionality as the **Save and Submit** command available from the **File** menu. This button saves the information to the database and generates an approval Task To-Do for the worker's supervisor to approve the *CPS Investigation Conclusion* window. In order for this button (or the **Save and Submit** command in the **File** menu) to enable, the Investigation Conclusion narrative must have been saved at least once, using either the **Save** or **Save and Stay** command.

## High Risk Comments

In conjunction with the new Risk Assessment Profile (RAP), the **High Risk Comments** check box will be selected automatically if the most recent RAP for the associated stage is "High" or "Very High" and the worker selects one of the following in the **Closure Reason** field:

- Closed – Refused services/unable to take legal action
- Closed – No services required
- Closed – Lost contact
- Closed – No credible evidence
- Closed – Unable to contact

When one of these closure reasons is selected, the following message will display:

*"Explain why you are closing the case with high or very high risk."*

When the worker clicks on the **OK** button in response to this message, the **Comments** button will enable and the **High Risk Comments** check box will have a check mark in it. The worker will click on the **Comments** button, which opens the *Comments* window, to record detailed information supporting the decision to close the stage while the risk is High or Very High. These comments must be recorded in order to Save and Submit the *CPS Investigation Conclusion* window. Once the worker closes this window, it can be reopened by clicking on the **Comments** button. The character limit in this field is 999.



An Investigation Conclusion cannot be approved if any event for the associated investigation is in REJT (rejected) status. If the worker attempts to submit an Investigation Conclusion while an event is in REJT status, the following message will display:

*"Investigation cannot be submitted for approval—Event(s) in rejected status."*

A stage's RAP event must be in APRV or PEND status in order for its corresponding Investigation Conclusion to be submitted for approval. Otherwise, the following message will display:

*"Cannot submit for approval—RAP must be in pending or approved status."*

## **Fatality – No Surviving Children**

Workers will use the new **Fatality – No Surviving Children** check box on the *CPS Investigation Conclusion* window to confirm that there are no surviving children in the stage. This check box enables if the Investigation contains *all* of the following:

- A DOA/Fatality allegation
- A Date of Death (DOD) for the AB child associated with the fatality allegation
- No other persons younger than 18 years of age with a role of MA, AB or No Role

When all of these criteria are met, the **Fatality – No Surviving Children** check box will enable and the following message will display:

*“Fatality – No surviving children. Please check box to confirm.”*

Once the worker selects the check box, the stage can be submitted for approval without a completed Safety Assessment or RAP. The event status for the Safety Assessment and RAP will be changed automatically to “SUSP” (Suspended), unless the status for that event is already APRV (Approved) at the time that the supervisor approves the Investigation Conclusion.

If any of the following events occur before the worker submits the Investigation Conclusion for approval, the **Fatality – No Surviving Children** check box will disable and the worker must complete a RAP (for implemented stages only) and a Safety Assessment (for both pre-implemented and implemented stages):

- A person younger than 18 years of age who has a role of MA, AB or No Role is added to the stage.
- The age of a person with a role of No Role is changed to be younger than 18.

### ***Impact on Local Data Maintenance (LDM)***

Once an investigation has been approved and closed with the **Fatality – No Surviving Children** check box selected, this affects the extent to which the stage can be modified using the LDM functionality. The Date of Birth (DOB) cannot be changed to make the person younger than 18 as of the date of Intake, *unless* a Date of Death (DOD) has been recorded for that individual, *or* that person is the subject associated with an allegation in the stage. A person also may not be *added* who has a Date of Birth younger than 18 years of age at the date of Intake. For additional information about changes to Local Data Maintenance, see page 25.

### **Consolidating Open Investigation Stages**

OCFS has developed the following guidelines to support a new local district procedure known as Consolidated Investigations. This new procedure may occur only after a report has been progressed to the Investigation stage; it supports the consolidation of Subsequent report Investigations into an ongoing, open Investigation. Consolidating Investigations is an optional procedure available to CPS investigators and is in response to the needs of the field, shrinking local district staff resources, Child and Family Service Review outcomes and New York State’s continued efforts to support strength-based child welfare practice and engagement of families.

Consolidated Investigations are designed to:

- enhance family engagement strategies by fostering a more strength-based and minimally intrusive approach to child protective investigations;
- avoid unnecessary duplication of effort while maintaining the integrity of the investigation process;
- more accurately reflect New York State's rate of repeat abuse and maltreatment, by combining multiple reports into the same Investigation stage; and
- support the ability to change an Intake report type to Duplicate after the report has been stage progressed.

Consolidated Investigations is a new procedure in which a Subsequent Investigation stage is closed and consolidated into an ongoing open Investigation stage. Consolidating investigations differs from (and goes beyond the scope of) changing a report type to Duplicate.

Duplicate report types reflect specific report criteria currently applied at Intake by the State Central Register (SCR), while Consolidated Investigations reflect the knowledge of the investigating district. Investigations may be consolidated regardless of whether or not the Subsequent report meets the current Intake criteria for a Duplicate report.

Since the investigating district has direct knowledge of the children and adults listed in the report, the investigating district is in a better position to conclude when a newly assigned investigation is duplicative of an ongoing investigation. In these instances, the worker and supervisor may decide to consolidate the investigations. Important issues to consider, when deciding whether or not to consolidate a Subsequent Investigation into an ongoing open Investigation, are covered later in this Job Aid.

Currently, for the SCR to determine that a report type is Duplicate, an open CPS investigation must exist when another report is registered involving the same or similar account of the incident, with no additional subject(s), allegation(s) or MA/AB child(ren), or the same or similar incident is reported with *fewer* subject(s), allegation(s) or MA/AB child(ren).

### ***Consolidated Investigations CONNECTIONS System Criteria***

This section addresses the system criteria for Consolidated Investigations functionality. There are steps that you, the worker, must take and system edits that exist to support the appropriate consolidation of investigations.

Consolidated Investigations functionality provides the ability to combine a Subsequent Investigation stage with an ongoing open Investigation stage in the same case by selecting the new investigation status, **Close as Duplicate**. The Intake stage will retain its INI (Initial) or SUB (Subsequent) stage type, since that stage is frozen. The frozen Intake Report and Investigation stage remain case events that the worker can navigate to easily.

A supervisor must approve the Investigation stage closure reason, in the same manner that all Investigation Conclusions are approved.

**CPS Investigation Conclusion - Sonstein, Julie - 5:22159654/C:21101735**

File Edit Options Forms Reports Help

Case Name: Sonstein, Julie Risk Rating:

Investigation Dates

Intake Received: 08/06/2003 Time: 07:54 AM Investigation Begun: //

Incident Occurred: // Time: : Investigation Completed: //

Determination: SUSPENDED Duplicate Stage ID: [Yellow]

Closure Reason: Closed as Duplicate WMS Case Number: 22159655

High Risk Comments   WMS # Validated

Fatality-No Surviving Children

**In order for a Subsequent or Initial investigation to be Closed as Duplicate and consolidated into the ongoing open investigation stage in CONNECTIONS, the following criteria must apply:**

- The prior and subsequent Investigation stages must be in the same *open* Investigation case.
- If the subsequent report is registered as Initial, it must be case merged prior to consolidating the investigations.
- The Intake date and time associated with the prior investigation must be the same as or earlier than that of the subsequent investigation.
- **The subsequent report intake date must be within 53 calendar days from the prior report Intake date to support all due process for subjects of reports.**
- The process of consolidating investigations must be completed within six (6) calendar days of the subsequent report intake date.
- The Safety Assessment(s) in the subsequent Investigation can have any status.
- The status of the Risk Assessment Profile in the subsequent investigation must be NEW or PROC (In Process).
- The prior Investigation Conclusion *cannot* be approved or pending supervisory approval.
- If a Subsequent Investigation has an event in REJT (Rejected) status, that Subsequent Investigation *cannot* be Closed as Duplicate and consolidated into the ongoing open investigation.
- All Alleged Subjects, MA/AB Roles and Other Persons named in the subsequent investigation must be listed in or added to the prior investigation, before the subsequent

investigation can be “closed as duplicate” and consolidated into the ongoing open investigation.

- All allegation lines (i.e., Subject/Child/Allegation) in the subsequent investigation must be listed in or added to the prior Investigation, before the subsequent investigation can be Closed as Duplicate and consolidated into the ongoing open investigation.
- A Fatality Investigation in which the 24-Hour Fatality Report associated with the subsequent report and/or the 30-Day Fatality Report has been started (in a status other than NEW) *cannot* be Closed as Duplicate and consolidated into the ongoing open Fatality Investigation.
- A DOA/Fatality allegation can only be added to an Investigation stage at SCR Intake. Local district CONNECTIONS users cannot add a fatality allegation to an open investigation.
- The system will allow a Day Care/Foster Care Investigation originally registered as Initial or Subsequent to be Closed as a Duplicate and consolidated into the ongoing open investigation. *Note: OCFS recommends the exclusion of DC/FC reports from this procedure until all local policies have been reviewed by the Regional Offices.*
- IAB Investigations *cannot* be Closed as Duplicate.
- In NYC cases, a “High Priority” Investigation can only be Closed as Duplicate and consolidated into another “High Priority” Investigation stage. A “Non-High Priority” Investigation can be Closed as Duplicate and consolidated into a “High Priority” Investigation stage.

### ***Consolidated Investigations and Local Policy Considerations***

There are two key considerations when deciding whether or not to consolidate a Subsequent Investigation stage into an ongoing open Investigation stage:

- **How much time remains in the prior ongoing open Investigation stage to adequately investigate and determine any new allegations?**

**Example:** An initial report was registered on January 1, 2003 alleging Lack of Supervision. A subsequent report was registered on February 20, 2003 alleging Excessive Corporal Punishment, Fractures and Lacerations, Bruises, Welts. There are 10 days left before the Investigation Conclusion is due on the prior report (day 53). Consider whether or not 10 days is enough time to adequately investigate the new allegations (Excessive Corporal Punishment, Fractures, and Lacerations, Bruises, Welts) and complete all required case activities.

- **Should the new report be maintained as a separate Investigation?**

**Example:** An initial report was registered on May 7, 2003 alleging Inadequate Guardianship. The report involves a rat-infested home and rats in the infant’s crib at night. A subsequent report was registered on June 24, 2003 alleging ongoing sexual abuse of the 5-year-old girl by the father. Local district CPS protocols dictate that all alleged sexual abuse reports be forwarded to the District Attorney’s office. Consider whether or not the sexual abuse report should be maintained as a separate investigation, taking into account the time remaining until the Investigation Conclusion is due on the prior (Initial) report. Additional considerations are listed on the next page.

**Additional considerations may include:**

- Are any specialized protocols or administrative structures in place that support maintaining a separate Investigation?
- Are there any *new* subjects or other persons named who, by law, require written notification of the existence of a CPS report?
- Who are the *new* subjects and what is their relationship to the family?
- Should the *new* subjects be tracked in a separate report (e.g., a relative or non-family member who should not have access to information contained in a prior report)?
- Are *new* allegations contained in the subsequent report?
- Do the *new* allegations involve additional children?
- What is the severity of the *new* allegations?
- If supportive district(s) (secondary, tertiary) assignment and involvement is necessary, is there enough time remaining in the prior report's allowable determination timeframe to involve the supportive district(s) and complete a comprehensive Investigation?
- Is the prior report about to be unfounded and the subsequent report contains new allegations, which may require further investigation?
- Does the subsequent report contain new information that would warrant a separate investigation?
- Should the report investigation remain separate due to confidentiality issues? (These may include a domestic violence shelter address or safe location for victims of domestic violence, or the need to prevent new subjects access to earlier report information.)
- Is the new report being referred to the District Attorney's office? If yes, should the subsequent report investigation remain separate (e.g., the prior report will be unfounded or contains minor allegations not relative to the current circumstances/allegations)?
- If a Risk Assessment Profile (RAP) was completed and approved on a prior report, is there a need for a new RAP? Note: A subsequent report may contain new information relevant to the RAP risk elements. In order to complete a new RAP and capture the new information garnered in the Subsequent Investigation, the Subsequent Investigation must remain separate from the prior Investigation.



**Note for Supervisors:**

If a caseworker submits an Investigation Conclusion for an ongoing open Investigation stage while a Consolidated Investigation is pending supervisory approval, you need to approved the ongoing stage's Investigation Conclusion before approving the Consolidated Investigation.

If you attempt to approve the Consolidated Investigation first under these circumstances, the following message will display:

*"Approve PEND Close as Dup stage prior to approving this INV stage."*

Clicking on the **OK** button will close the message box.

### ***Canceling a Pending Consolidation***

If a caseworker consolidates investigations in error, the supervisor must reject the pending Consolidated Investigation that the caseworker submitted for approval. The status of the Consolidated Investigation will change from PEND to REJT.

If the caseworker needs to change the date of the consolidation or select a different ongoing open Investigation stage (if any exist that meet the consolidation criteria), s/he can navigate from the rejected task on the *Staff To-Do List* and make the necessary changes to these fields. The caseworker would then need to resubmit the Consolidated Investigation for supervisory approval.

### ***Practice Considerations After Consolidating Investigations***

This section is intended to highlight activities that caseworkers and supervisors must accomplish once the supervisor has approved the decision to consolidate the investigations. When incorporating new information into an ongoing open Investigation stage, caseworkers and supervisors must complete all required activities and documentation associated with a child protective investigation within the allowable determination timeframe of the previous report. Additional case activities may be warranted based on new information or circumstances previously not addressed. These may include the following:

- Assess the current SAFETY of ALL children in the home and document the Safety Assessment findings in case progress notes *or* via completion of an updated Safety Assessment in CONNECTIONS.
- Document in case progress notes the reason for the decision to consolidate the Subsequent Investigation into an ongoing open Investigation.
- Add any new subjects, MA/AB children, allegations and other persons named in the subsequent report with a Role of “Unknown” or “No Role” to the ongoing open Investigation stage. Complete case maintenance as necessary.
- Inform family members of the subsequent report and that it has been consolidated with the ongoing open investigation.
- Provide notification letters to new subjects and other persons named in the subsequent report within seven (7) days of the Intake date.
- Conduct additional interviews/home visits with new subjects, additional children, new sources or collateral contacts.
- Modify the most recent pending Risk Assessment Profile to reflect any new information or circumstances.
- If applicable, document Mandated Reporter(s) information associated with the subsequent report, in case progress notes.
- If requested, provide a summary of the findings to the Mandated Reporter(s) associated with the subsequent report.
- Notify supportive district worker(s) (i.e., secondary, tertiary) in both Investigation stages that the investigations have been consolidated and discuss investigative activities that must be completed.

When a stage is closed as a Duplicate Investigation, the **Determination** field on the *CPS Investigation Conclusion* window will automatically populate with “Suspended” and the field will disable, preventing any modification of the information.

The worker needs to associate the Subsequent Investigation stage with the ongoing Investigation stage. The **Duplicate Stage ID** field will contain a drop-down list of open, active investigations in the case, provided those investigations meet *all* of the following conditions:

- The ongoing stage’s Intake date is on or before the Subsequent Investigation stage’s Intake date.
- The ongoing stage’s Intake date is less than 53 days old.
- The ongoing stage is open and has *not* been submitted for approval.
- The ongoing stage is *not* involved in a pending case split.
- Both stages share at least one person in common.
- Both stages have the same subject and child, if the case has a DOA/Fatality allegation.

When the worker selects a stage in the **Duplicate Stage ID** field, CONNECTIONS will verify that the following are true:

- All individuals except for those with a role of **Reported in Error** in the Duplicate stage are included in the original (going forward) stage.  
—AND—
- All of the allegations associated with those individuals in the Duplicate stage are included in the original (going forward) stage.

Otherwise, the following error messages will display, preventing the worker from closing the stage as a Duplicate investigation:

Circumstance	Error Message
A person in the Duplicate stage is missing in the original (going forward) stage —AND— that person has a role <i>other than</i> <b>Reported in Error</b> .	<i>“All individuals in the Duplicate stage must be in the original stage.”</i>
The allegations in the Duplicate stage do not exist in the original (going forward) stage.	<i>“Allegation mismatch – All allegations in Duplicate must be in original stage.”</i>
The Duplicate stage <i>is</i> a High Priority stage, but the original (going forward) stage is <i>not</i> .	<i>“Selected stage is not high priority – stage cannot be duplicated.”</i>
No stages in the case meet the criteria to allow a Duplicate.	<i>“No stages in case meet criteria to allow a Duplicate.”</i>

If any of these error messages displays, the worker needs to click on the **OK** button to close the message box. CONNECTIONS will clear the “Suspended” value in the **Determination** field and

the “Closed as Duplicate” value in the **Closure Reason** field. In addition, the **Save** button will enable, allowing the worker to save the Narrative, as well as the **Investigation Begun** and **Investigation Completed** information that may have been recorded.

Closing a stage as a Duplicate Investigation requires supervisory approval. A system edit prevents interim save capability once the **Determination** field reads “Suspended” and the **Closure Reason** field reads “Closed as Duplicate.” If the worker attempts to close the stage as Duplicate, but is not yet ready to submit the closure for supervisory approval, s/he must click on the **Cancel** button to exit the window.

The supervisor’s approval of the Duplicate closure will generate an event on the Duplicate stage’s *Event List*. If the supervisor approves the Duplicate closure while other approval events for that stage are in any status *other* than APRV, the status for each of those events will be converted to SUSP (Suspended).



### Step-by-Step: Consolidating Investigations

- 1 From the *Task List* for an Investigation stage, click on the **Investigation Conclusion** task.  
*The CPS Investigation Conclusion window displays.*
- 2 Click on the **Options** menu and select the **Close as Duplicate** command.
- 3 Record the **Investigation Begun** date.
- 4 Record the **Investigation Completed** date. (The date you are closing as a Duplicate.)  
*CONNECTIONS will generate an overall investigation determination of “Suspended.” The **Closure Reason** field will automatically be populated as “Closed as Duplicate.”*
- 5 Click on the drop-down arrow for the **Duplicate Stage ID** field and select the Stage ID of the original (going forward) stage from the resulting list.
- 6 Click on the **Submit** button to save the information to the database and submit the stage for supervisory approval.  
*The To-Do Detail window displays.*
- 7 Click on the **Save** button to send the Approval Task To-Do to the supervisor.



Make sure that all individuals, including the “Unknown” and “No Role” adults and children who are listed on the subsequent stage, are also listed in the prior stage.

Make sure “Unknown/Unknown” names are updated via the **Maintain Person** task before consolidating investigations.

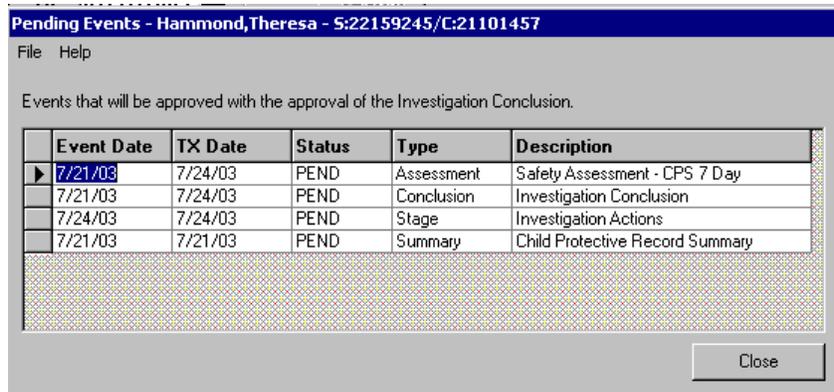
Once the stage has been approved by the supervisor, its stage type will automatically change to DUP (Duplicate). The Intake stage will retain its INI (Initial) or SUB (Subsequent) stage type, since that stage is frozen. Security access to the Duplicate investigation will be linked to the original (going forward) investigation.



When closing a stage as a Duplicate investigation, the allegation determination, Safety Assessment, Risk Assessment Profile (RAP), Investigation Actions Questions and Investigation Conclusion narrative are *not* required.

## Pending Events Window

When a supervisor navigates from an Investigation Conclusion approval Task To-Do, any pending events that will be bundled with the Investigation Conclusion approval will display in the new *Pending Events* window. Once you close the *Pending Events* window, the CPRS will display.



	Event Date	TX Date	Status	Type	Description
▶	7/21/03	7/24/03	PEND	Assessment	Safety Assessment - CPS 7 Day
	7/21/03	7/24/03	PEND	Conclusion	Investigation Conclusion
	7/24/03	7/24/03	PEND	Stage	Investigation Actions
	7/21/03	7/21/03	PEND	Summary	Child Protective Record Summary

This window is view-only. The supervisor must close the window (by clicking on the **Close** button) before s/he can navigate through the CPRS to review the pending information and proceed with the approval or rejection of the submitted work.

## Ease-of-Use Enhancements

### Copy and Paste Functionality in CPRS

Build 16 will include enhanced capability for copying information from some sections of a stage to another. This capability will enable workers to copy and paste information within the CPRS among the narrative fields on the **Safety Assessment**, **Risk Assess Profile** and **Progress Notes** tabs. In addition, the **Progress Notes** tab provides the Copy Note function. In order to copy and paste information among the **Safety Assessment**, **Risk Assess Profile** and **Progress Notes** tabs, click and drag with the mouse to highlight the narrative text to be copied, then use the “Hot Key” combination (**Ctrl-C**) to copy. Once the text has been copied to the electronic clipboard, click in the narrative field into which you need to paste the information and use the “Hot Key” combination (**Ctrl-V**) to paste. Keep in mind that the electronic clipboard will clear automatically when you close the CPRS.

### Retrieving Narratives After Losing the System Connection

If you lose your system connection while you are recording certain narratives, CONNECTIONS will be able to determine (once your system connection is re-established) which version of the narrative is more recent: the local version on your hard drive or the version in the CONNECTIONS database. This functionality already existed prior to Build 16; however, Build 16 will improve this functionality. When a document is being modified, it is automatically saved to a temporary folder on the worker’s hard drive every few minutes.

The following CPS narratives will be supported by this Auto Recovery feature:



- 24-Hour Fatality Summary
- 30-Day Fatality Summary
- Administrative Review
- CPS Familial & FC/DC Investigation Conclusion Narrative
- Notes Narrative (pre-Build 16)
- Supervisory Review & Comments Narrative (pre-Build 16)
- Supportive District Notes Narrative (pre-Build 16)
- Progress Notes Narrative
- Safety Assessment (Mitigating Strengths/Resources) Narrative
- Local Protocol Narrative

The retention period for these Auto Recovery documents is 10 days (or 240 hours). The possibility exists that another worker may modify the same document or narrative before the current worker recovers his/her lost copy. Build 16 will add functionality that will check the timestamp of the document that is saved in the worker's hard drive against the one saved in the database. This functionality will ensure that the most recent document will be brought up and the worker will not overwrite more recent changes. A message will display stating which version of the document is being recovered (the database version or the one stored on the worker's hard drive).



Once you have retrieved the Local version of the narrative, you need to copy and paste it into the Database version.

See the table below for specific messages:

	<b>If the Local version is more recent...</b>	<b>If the Database version is more recent...</b>
<b>The following message will display:</b>	<i>"Most recent narrative retrieved from local drive. Click OK to view."</i>	<i>"Most recent narrative retrieved from Database; locally saved version exists."</i>
<b>Actions and results:</b>	Saving the local version will save the information to the database.	Clicking on the <b>OK</b> button will display the Database version of the narrative.



**Step-by-Step:  
Retrieving Narratives from the Hard (Local) Drive**

- 1 Click on the Citrix desktop's **Start** menu.  
*The **Start** menu commands display.*
- 2 Click on the **Local Save** command.  
*Documents saved in the **Local Save** folder display.*

The worker needs to identify the file name of the narrative to be retrieved (for example, if the worker is looking for a Progress Notes narrative that was saved to the Local Save directory and the name of that file is AR\_06202003\_100154\_22157970\_479\_Progress Note).

The following explains the significance of the characters in the filename:

- AR indicates that it is an auto-recovered file.
- 06202003 is the date of the local save copy.
- 100154 is the time of the local save copy.
- 22157970 is the Stage ID.
- 479 is the Progress Note ID.
- Progress Note is the type of narrative.

- 3 Select the narrative and click to retrieve it.

### **Assigning Task To-Do's for Progress Notes and the Safety Assessment**

There are times when a worker may need to assign a Task To-Do to another worker for recording Progress Notes or the Safety Assessment. If a worker has the right to create a Progress Note, that worker can also assign a Task To-Do to another worker to complete this task. The person assigned to complete the Task To-Do will be able to open the *Progress Notes Detail* window from his or her own *Staff To-Do List*.

This function is available directly from the **Progress Notes** and **Safety Assessment** tabs by using the **Create To-Do** command from the **Options** menu on the tab. For detailed information, see the Progress Notes and Safety Assessment Job Aids.

Task To-Do's cannot be assigned for the recording of the Risk Assessment Profile (RAP), since only the Primary worker assigned to the investigation can record the RAP.

### **Navigating From Approval Task To-Do's**

When a supervisor navigates from an Approve RAP Task To-Do, for an implemented stage, the CPRS will display and the **Risk Assess Profile** tab will be active.

When a supervisor navigates from an Approve Safety Assessment Task To-Do for an implemented stage, the **Safety Assessment** tab will be active in the CPRS and the *Safety Assessment Detail* window will be open.

When a supervisor navigates from an Approve Investigation Conclusion Task To-Do, the *Pending Events* window will display. This list will display all events in PEND (Pending) status that have also been approved with the Investigation Conclusion approval. When the supervisor clicks on the **Close** button on the *Pending Events* window, the CPRS will display and the supervisor can navigate through all tabs on the CPRS. When the CPRS is closed, the *Approval Status* window will display. Approval of an implemented stage will display the following message:

*“Approval completion will freeze Events and all draft Progress Notes for the stage.  
Do you wish to add another approver?”*

- Click on the **No** button to proceed with the approval and freeze all events and Progress Notes.
- Click on the **Yes** button to add another approver.

The table below lists error messages that display if a supervisor attempts to navigate from an Approve Investigation Conclusion Task To-Do while the following events are in pending status:

Pending Event	Error Message
Approve RAP	<i>“You must approve the RAP for this stage first.”</i>
Approve 24-Hour Fatality Report	<i>“You must approve the 24-Hour Fatality Report for this stage first.”</i>
Approve 30-Day Fatality Report	<i>“You must approve the 30-Day Fatality Report for this stage first.”</i>

If the supervisor receives any of these messages, the system will return the supervisor to the To-Do List from which s/he navigated.

Prior to Build 16, navigation for Investigation Conclusion approvals proceeded from the *Event List* to the *CPS Investigation Conclusion* window to the *Approval Status* window. For pre-Build 16 stages, this navigation will remain the same.

## Changes to Person Maintenance

With the implementation of Build 16, the **Remove Person – Added in Error** function will determine if the individual being removed is listed as the Primary Caretaker or Secondary Caretaker for the RAP associated with the Investigation stage. If the individual *is* listed as the Primary Caretaker or Secondary Caretaker in that Investigation’s RAP, the following message will display:

*“This person is selected as a Caretaker on the RAP and cannot be removed.”*

In addition, the Remove Person – Added In Error process will be cancelled and the person will remain on the *Person List* for the Investigation stage.

## Changes to Local Data Maintenance

With the implementation of Build 16, several changes will be made to Local Data Maintenance (LDM). When the LDM is opened for implemented CPS Familial Investigation stages, the *LDM* window will display both the Final Risk Rating and the presence of Elevated Risk Elements (if any were selected) as view-only fields in the Header.

If an Investigation stage was closed with the **Fatality-No Surviving Children** closure reason, the following edits will take effect:

- The Date of Birth of any person may not be changed to younger than 18 years old before the date of Intake. If the worker attempts to do this, the following message will display:

*“Cannot update or add person less than 18 years of age.  
The stage was closed with Fatality – No Surviving Children.”*

The only exception to this occurs if the person has a Date of Death or is a subject in an allegation.

- Children cannot be added to a stage that was closed with the **Fatality – No Surviving Children** option. If the Date of Birth was younger than 18 before the date of Intake, the *Add Person* window will remain open and the following message will display:

*“Cannot update or add person less than 18 years of age.  
The stage was closed with Fatality – No Surviving Children.”*

- For New York City caseworkers, the High Priority calculations will reflect the separated alcohol and drug abuse Safety Factors.

- Workers will not be able to delete the last allegation against a subject who was born earlier than 18 years before the date of Intake. Deleting this last allegation would change the person so that s/he would no longer have a role of Subject in the stage, but instead would have a role of Child in the stage. If the worker attempts to delete the last allegation, the following message will display:

*“Cannot Remove Allegation.”*

The exception to this occurs if there are multiple allegations against the subject, then all but the last allegation can be deleted.

### **High Risk Comments in Local Data Maintenance**

If a closed stage has an associated RAP with a Final Risk Rating of High or Very High and the worker changes the current Closure Reason, the worker may need to record High Risk Comments for the new Closure Reason. If the stage already has High Risk Comments for the Current Closure Reason, the worker may be able to add comments. The worker will be able to view the High Risk Comments associated with the previous Closure Reason.

**Current Risk Comments**

Current Risk Comments

Case is being closed with High Risk as Family is already receiving family services from the Family Counseling Center. Both Mother and Father are on probation. Probation will continue to monitor parents for 5 years, including drug/alcohol screenings.

Additional Risk Comments:

OK Cancel

When changes or additions are completed in the **Additional Risk Comments** field, clicking on the **OK** button will store the changes and close the window. The **OK** button does not save the changes, but stores them locally until the worker clicks on the **Save** button on the **Investigation Conclusion** tab. If the worker clicks on the **Cancel** button on the *Current Risk Comments* window, any changes that have been made to the **Additional Risk Comments** field will be discarded.

If an IAB Investigation is being maintained, the following will *not* display on the **Investigation Conclusion** tab:

- **WMS Case Number** field
- **WMS# Validated** check box
- **Validate WMS** button
- **High Risk Comments** button

### **WMS Case Number in Local Data Maintenance**

For CPS Familial Investigation stages, the **WMS Case Number** field enables if one of the following is used as the current **Closure Reason** and the stage's County code is in the range of either 01-58 or 70-74:

- Open-Court Ordered Services
- Open-Court Ordered Supervision
- Open-Voluntary Services
- Open-Voluntary Placement
- Open-Court Ordered Placement

If the stage is a DC/FC Investigation or the current Closure Reason is not one listed above, the **WMS Case Number** field will be disabled.

The **Validate WMS** button enables only when the WMS number has been changed (and not yet validated); the **WMS# Validated** check box is never enabled (because the system will populate this check box automatically when the WMS Case Number is validated). If the worker changes the WMS number in the **WMS Case Number** field, the **WMS# Validated** check box will be unchecked. If the new number starts with the letter S, it is a potential WMS Case number and the **Validate WMS** button will be enabled. Changing the field to any value that does not start with the letter S will turn the field red and disable both the **Validate WMS** and **Save** buttons on the tab. If the **WMS Case Number** field is cleared when the WMS number is required by the stage's district (based on the current **Closure Reason**), the field will highlight in yellow and the following message will display: "*WMS Number Required*"; the **Validate WMS** button will remain enabled. If the WMS Case Number was not required when the stage was closed, the **Validate WMS** button will disable when the field is cleared.

When the **Validate WMS** button is clicked, LDM will query the legacy system to verify if the entered WMS number is valid and/or currently active in the stage's district. If the WMS number is valid and active, the **WMS# Validated** check box will populate automatically and the **Validate WMS** button will disable.

The new WMS number will not be automatically saved to the database; the worker must click on the **Save** button on the tab to save the new WMS number. When the **Save** button is clicked, the following information will be saved to the database:

- Entered WMS Case Number
- Validation indicator
- Date of validation
- District code of the primary worker of the stage when the stage was closed

If the entered WMS number is not valid or currently active for the stage's district, or if CONNECTIONS could not contact the legacy system, an appropriate error message will display.

- If the worker clicks on the **Yes** button in response to the error message, the WMS number that was entered will be retained, the **WMS # Validated** check box will remain unchecked and the **Validate WMS** button will disable.
- If the worker clicks on the **No** button in response to the error message, the previously saved WMS number and validation indicator will display and the **Validate WMS** button will disable. (If no WMS Case Number was previously recorded, the **WMS Case Number** field will clear.)

The **Save** button on this tab will disable if the **WMS Case Number** field is red or highlighted in yellow, or if the **Validate WMS** button is enabled.

## Updates to Online Help

Online Help will be updated to reflect enhancements made to the CONNECTIONS system in Build 16. These enhancements include Online Help topics related to the new Safety Assessment, Progress Notes and Risk Assessment Profile (RAP) and their corresponding windows, with context-sensitive help for all fields.