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System Build 18.9.3 Job Aid

Changes to Access to the Child Protective Investigation via Implied Role in CONNECTIONS



**CONNECTIONS Training Project
SUNY Training Strategies Group**

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**CONNECTIONS - System Build 18.9.3 Job Aid
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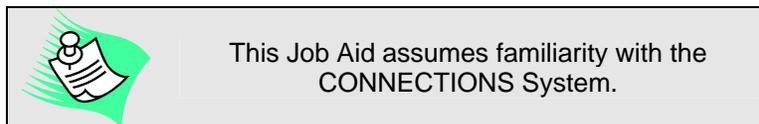
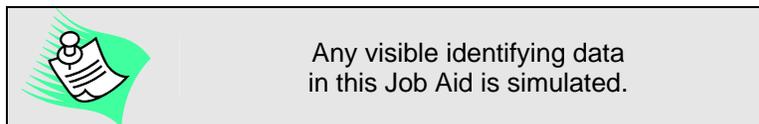
Introduction

This Job Aid provides workers with information about changes in access to Child Protective Investigation (CPS) information via an Implied Role in CONNECTIONS. CONNECTIONS Build 18.9.3 supports workers in using this access effectively as part of their casework responsibilities. Further information about this topic is contained in 07-OCFS-ADM-12: Access to Child Protective Services Investigation Information.

This Job Aid is intended for Agency staff and provides a detailed overview of the CONNECTIONS system changes being introduced with Build 18.9.3. It also includes detailed information about the nature and content of the record of which staff will have access.

Specifically, this Job Aid contains information about:

- accessing the Child Protective Record Summary (CPRS);
- staff roles and responsibilities; and
- fatality reports.



This job aid is available on the CONNECTIONS Intranet site:
DFA Intranet Site > OCFS Home page > CONNECTIONS > Desk and Job Aids

The CONNECTIONS intranet site also contains information about CONNECTIONS training.

Statutory Authority

Social Services Law (SSL) states that when a Local Department of Social Services (LDSS) refers a child or family to a foster care or preventive services agency, or to whom the child or the child's family have referred themselves at the request of the Child Protective Services or social services district that agency is authorized to receive Child Protective Services (CPS) information to enable the agency to establish and implement a plan of services for the child or family, or directly provide services to the child or family. Additionally, agencies providing preventive or foster care services to a child named in a report, whether under investigation or indicated, are authorized access to Child Protective Services (CPS) information. CONNECTIONS now supports these statutory provisions.

With the implementation of Build 18.9.3, all appropriately assigned agency staff will have “view” access to relevant CPS investigation information in “Under Investigation” and “Indicated” familial Investigation stages that were established as of January 1, 2006 through CONNECTIONS. Agency staff will not have access to Unfounded investigations.

If a stage you are working on shares a person in common (has the same Person Identification Number in CONNECTIONS) with another stage or case, you have an implied role in the related stage or case. Through this implied role you will have access to the Child Protective Record Summary (CPRS). This record provides demographic and investigative information. Additionally, you will be able to view fatality reports, if they exist.



Voluntary Agency staff will not be permitted to view any information about Institutional Abuse (IAB) investigations or Foster Care/Day Care (FC/DC) investigations.

Roles and Responsibilities

Having access to CPS information will not change the tasks or roles and responsibilities of your work; however it does provide you with a single historical record about the family and current information regarding the safety of the child(ren) so you can work more effectively with the child(ren) and family.

Remember, it is important to be cognizant and respectful of the different roles and responsibilities of each worker involved in a CPS case. The comprehensive lists of tasks and duties of the CPS worker assigned to investigate reports of abuse and maltreatment are outlined in SSL Section 424; however, it is important to note some of the specific tasks that are the unique responsibility of CPS workers in their efforts to protect the child(ren), complete a thorough investigation of any new CPS report, and determine if it is necessary to open or continue the family's case with a provision of services that includes the monitoring of identified safety and risk issues in the family. The following list includes duties that are performed *solely* by a CPS worker:

- Parent/Subject Notification of the existence of a report within seven days of the receipt of a report or abuse or maltreatment from the State Central Register.
- Initiation of the investigation within 24 hours of receipt of the report.
- Assessment of the immediate or impending danger of harm to the child(ren).

- Evaluation of the environment of a child(ren) named in the report and any other children in the same home.
- Assessment of safety of the child(ren) within seven days of the receipt of the report.
- Determination of the nature, extent and cause of any condition, injury or circumstance related to the child(ren) or the home environment as noted in the report within 60 days.
- Determination of the initial risk of future abuse or maltreatment relative to this investigation and the need to open or continue a services case.
- Removal of a child(ren) into protective custody to protect him/her from further abuse or maltreatment.

It is *not* the responsibility of the agency staff to advise the subject or the child of the existence of the report; however, your agency may have a policy to inform a family if an agency staff member makes a CPS report. This is not the same as providing a Notice of Existence of the report to the family, which is the sole responsibility of the CPS worker. It is also the CPS worker's responsibility to explain the allegations, clarify to the family the process of the investigation and what actions will be taken relative to the report to protect the children and complete the full investigation.

Access to the CPS Investigation stage will provide both historical and current information (created after 1/1/2006) relevant to the case. Depending upon when you access the CPS Investigation stage, different information may be available. If the Investigation stage has been recently created, the documentation available may be minimal until the CPS worker can assess and provide for the safety of the children in the household and document the actions that were taken in CONNECTIONS. For more information on a CPS Investigation, agency workers can communicate directly with the CPS worker.

With the use of implied role, there are some restrictions on accessing unfounded reports and information about the reporter/source. Agency staff will not have access to unfounded reports, the CPS Intake stage, or associated narratives found in the INV stage or any Progress notes that have "Reporter/Source" as a value in the "Other Participant" field.

LDSS staff who wish to access a CPS Investigation stage via an implied role must have the VIEW UNFOUNDED or VIEW RPTR/SOURC Business Functions (respectively) to be able to view unfounded reports and/or reporter/source information. These Business Functions are only assigned to LDSS staff.

CPS, preventive and foster care staff share many of the same responsibilities to assist families to succeed in meeting the needs of their children. Each worker involved with a family has the ultimate mission of the preservation of families, wherever possible, and the protection of children, family members and the community. The ability for staff to be able to view all information relevant to the family they are serving provides significant benefits to all staff as well as the children and families directly.

When documenting progress notes in a Family Services Stage (FSS) in relation to a contact about an Under Investigation report, it is important to not specifically reference the ongoing CPS Investigation. For example, when an agency worker contacts an LDSS worker regarding a current ongoing investigation, they should document the specific behaviors/concerns discussed

without specifically referencing the existence of a CPS investigation because it may be determined Unfounded.

Confidentiality

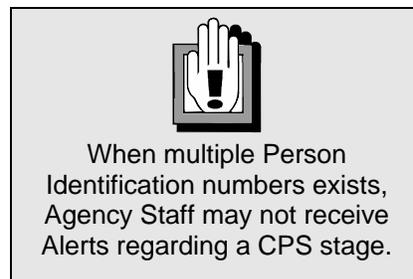
Social Services Law (Section 422-a) specifies that only the OCFS Commissioner or a city or county Social Services Commissioner may disclose information regarding the abuse or maltreatment of a child and the investigation. All staff, including agency staff, must *not* disclose the specific information maintained in the CPS investigation record to the parents, children, or other parties. The information obtained from the CPS investigation is used to better inform the delivery of services to the family and aid in protecting the children. Moreover, it may only be shared with another person who is authorized to receive such investigation information as outlined in SSL 422.4(a).

You must understand your role and responsibilities regarding the security of CONNECTIONS information. You have an obligation to protect and preserve all information in a consistent and reliable manner. As a CONNECTIONS user, you are responsible to make sure that appropriate measures (e. g. knowing local procedures) are in place to preserve the confidentiality, integrity, availability and privacy of CONNECTIONS information.

It is the responsibility of staff to be knowledgeable of all applicable regulations and laws on confidentiality, sharing information and the re-disclosure of confidential case information. The principle of “need to know” should be supported when sharing or disclosing case information with other professionals within the agency. Information obtained by viewing the Investigation stage may only be shared with another person who is authorized to receive such investigation information as outlined in SSL 422.4(A).

Best Practices

The ability of LDSS and agency staff to have full access to the comprehensive family case record in CONNECTIONS depends on all of the information pertaining to an individual being linked to the same person identifier (PID). The existence of multiple identifiers for the same person will be addressed through clean-up of existing “duplicates” and the creation/reinforcement of procedures to prevent the creation of new ones.



CONNECTIONS currently supports an “Alert” that is forwarded to each person with an assigned role in the case, including all Agency staff, notifying them of the existence of a new CPS report on a specific case on their workload and sends another “Alert” at the time of the determination. This supports notification to the agency staff of necessary information relevant to their work with families they serve.

CONNECTIONS provides pre-designed reports for printing information. The **Generate Report** button, located at the bottom of the CPRS window, provides for printing the information in all sections of the CPRS. For agency staff, the **Generate Report** button is disabled for all stages Under Investigation. Information in these stages must *not* be screen printed, copied or reproduced.

Upon receipt of information/notification that an “Indicated” determination has been modified based on an administrative review or fair hearing, the Agency must expunge/destroy any printed information related to that identified Investigation stage. It is the agency’s responsibility to monitor stages that have been modified based on an administrative review or fair hearing if printed materials exist in a record. Agency staff should refrain from printing CPS information.

Overview of the CPS Casework Flow

All CPS reports begin when the State Central Register (SCR) registers a report of abuse or maltreatment and assigns the report to an LDSS. The LDSS accepts or rejects the report. An accepted report is progressed from the Intake stage to the Investigation stage and assigned to a worker. Typically, reports are rejected only for incorrect jurisdiction. Rejected reports are returned automatically to the SCR for review and reassignment.

A CPS case is a collection of one or more reports of abuse or maltreatment (and a services stage, if needed) that require casework activity. A Stage in CONNECTIONS is a grouping of casework activities related to a particular time frame, case status or casework action within the context of the overall case. LDSS workers use two stages in CONNECTIONS for CPS Investigations:

- Intake (INT) stage - allows the SCR, Onondaga County and Monroe County to document information regarding a CPS concern coming in by phone or fax. Workers record information about the call narrative, reporter, persons involved in the report, addresses and phone numbers, etc. The INT stage is similar to the Family Services Intake stage (FSI) in that it is meant to be open for a short period of time to record the intake activities.
- Investigation (INV) stage - provides for documenting all investigative activities regarding the report of suspected abuse/maltreatment. A worker maintains person and address information on all those involved, records contacts/progress notes, completes a Safety Assessment, substantiates or unsubstantiates all reported allegations, completes a Risk Assessment when the case is indicated, submits an investigation for approval, etc.

A CPS worker must determine within 60 days of the date of Intake whether the report is Indicated or Unfounded. Each allegation of abuse or maltreatment contained in the Intake must be substantiated or unsubstantiated as part of the investigation process. To *substantiate* means the investigation has revealed that some credible evidence of abuse or maltreatment has been found. *Some credible evidence* is defined as evidence that is worthy or capable of being believed. The evaluation of whether some credible evidence of abuse or maltreatment exists takes into account all information gathered during the investigation and compares that information with the definitions of abuse and maltreatment. If one allegation in a report is substantiated, the reported is considered to be Indicated. If all allegations in a report are unsubstantiated, the report is Unfounded.

When a report is Unfounded (there was no credible evidence to support the allegations) it is legally sealed. This means that it can only be reviewed by a CPS worker if another report is received that involves a subject, a child or a sibling of a child named in the legally sealed unfounded report.

The first priority after receiving a report from the SCR is for the CPS worker to assess the safety of each child found in the home. The safety assessment process is documented by completing the Safety Assessment in CONNECTIONS. The purposes of this assessment are to ascertain whether there are any safety concerns, if any children are likely to be in immediate danger of serious harm, and to determine what interventions can be initiated or should be maintained to provide appropriate child protection. When child safety has been addressed, then a risk assessment of future abuse and maltreatment, a comprehensive assessment of family functioning, and a thorough investigation of reported allegations can proceed.

Safety Assessments are completed in CONNECTIONS:

- within seven (7) days from receipt of an Initial or Subsequent report of suspected child abuse/maltreatment.
- within twenty-four (24) hours from receipt of a Fatality report, if there are surviving siblings, and when completing a 30-day child fatality report.
- within seven (7) days of the completion and submission of the Investigation Conclusion.
- as part of the Family Assessment and Service Plan (FASP) completed at each Initial, Comprehensive and Reassessment FASP if the case is opened for services.



On 8/1/07 the Governor signed legislation authorizing Differential Response programs for certain CPS reports. A select number of local districts outside of New York City may implement this program beginning in the summer of 2008. For more information on these programs, go to <http://ocfs.state.nyenet>.

Implied Role

In order to protect the confidentiality and integrity of case data, access to information in CONNECTIONS is carefully controlled. A number of factors determine the information a worker can view or maintain in CONNECTIONS, including the cases to which the worker is assigned, the worker's Business Function Profile (BFP), the organizational hierarchy and the worker's position in the hierarchy, the Agency Access established in CONNECTIONS by that worker's LDSS or agency, and the worker's job function.

Implied role means that you have a person in a stage on your Assigned Workload in common with a stage that is not on your workload. Although you do not have an *assigned* role in the other stage, a role is *implied* by virtue of the shared person. Implied role provides view-only access to the other stage(s).

With view-only access you can view related Under Investigation and Indicated CPS INV stages (created after 1/1/2006) that contain the person in common.

Which stages you can access depends on whether you are an LDSS or agency worker. Best casework practice states that you should review all information documented in each stage of a case in which you have a role. In addition, it is important that other cases with persons in common with your assigned cases be reviewed.

Agency staff will not have access to Under Investigation or Indicated CPS stages that have been marked sensitive. The Agency worker should contact the LDSS worker involved with the case for needed information. Agency staff can mark an FSI stage sensitive and can see a sensitive FSS stage if they are assigned a role in that stage.



Voluntary Agency staff will not be permitted to view any information for an investigation that has been determined to be Unfounded.

When reviewing information for an Indicated or Under Investigation CPS stage, the *Child Protective Record Summary* window is accessed from the *Event List*.



Step-by-Step: Accessing the Child Protective Record Summary via Implied Role

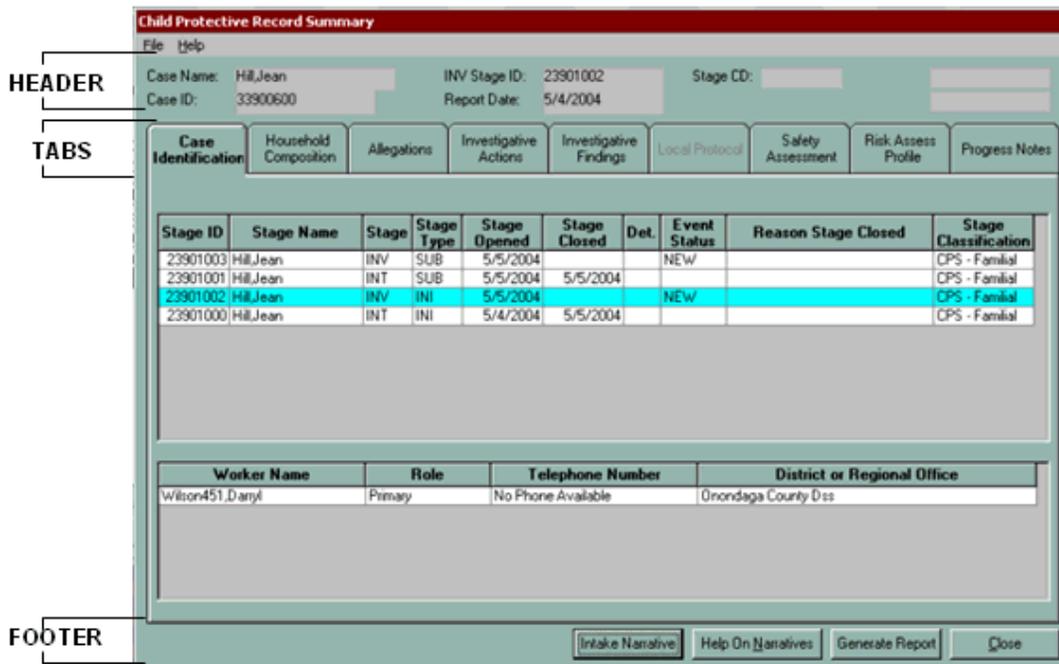
- 1** Click on the **WORK** button on the CONNECTIONS Toolbar.
The Assigned Workload displays.
- 2** Click on an FSS stage to select it.
- 3** Click on the **Options** menu and select **Person List**.
The Person List window displays.
- 4** Click on the person in common from the results in the Person Search List.
- 5** Click on the **Options** menu and select **Case List**.
The Case List window displays, containing a list of cases with which the selected individual is associated.
- 6** Click on a case to select it.
*The **Summary** button enables.*
- 7** Click on the **Summary** button
The Case Summary window displays.
- 8** Click on the INV stage to select it.
The following message displays: "You are accessing a Child Protective Services (CPS) case. Information found in a CPS case, including identifying information regarding the source of the report or the person who made the report is confidential and may only be re-disclosed where authorized by law. If any reporter or source information is disclosed to you, either through your work on the case or in reviewing the case record, you may not re-disclose such information, unless authorized to do so by the written consent of the source or the reporter, by court order or as otherwise authorized by law to do so."
- 9** Click on the **OK** button.
*The **Events** button enables.*
- 10** Click on the **Events** button.
The Event List displays.
- 11** Click on the CPRS event to select it from the *Event List*.
*If there are details to view, the **Detail...** button enables.*
- 12** Click on the **Detail...** button.
The Child Protective Record Summary (CPRS) window displays.

The Child Protective Record Summary

The Child Protective Record Summary (CPRS) provides demographic information and investigative findings in one place. A single window with multiple tabs allows you to easily access, view and print (if appropriate) CPS case information. The window is organized to be consistent with the investigation process.

Locating Information in the CPRS

The *Child Protective Record Summary* window is organized into three sections: heading and footer contain elements that are present no matter which section of the CPRS is being used while the tabs comprise the main body of the CPRS.



The Header

The header is always present when the CPRS is open. It includes the following information: Case Name, Case ID, INV Stage ID, Report Date and Stage CD (Community District). The INV Stage ID refers to the stage that was highlighted on the *Case Summary window*. The Stage CD will display only for NYC stages.

In addition, a High Priority label will display in the CPRS header for any NYC stage that contains High Priority Factors. The High Priority Factors are determined by the system and are calculated from the type of allegations made, the age of the child and the safety factors selected. These are used in New York City cases and helps staff to identify critical cases.

The Footer

The footer is always present when the CPRS is open. It contains four buttons:

Intake Narrative This button opens a window for viewing the narrative recorded at Intake. This button is disabled for agency staff.

Help on Narratives This button opens CPRS Online Help, which you can use to view technical and policy information to help you complete particular

narratives in the CPRS.

Generate Report

This button opens the *Generate Report* window, where you can select one, several or all tabs for inclusion in a pre-formatted report of information contained in the CPRS. For agency staff, this button is disabled for all “Under Investigation” CPS stages.

Close

This button closes the CPRS, returning you to the *Event List*.

The Tabs

The information contained in the main section of the CPRS is organized as file tabs. Clicking on a tab allows you to access associated case information. Tabs can be opened in any order.

Case Identification Tab

Child Protective Record Summary

File Help

Case Name: Collins,Kristi INV Stage ID: 24191480 Stage CD:
Case ID: 22150678 Report Date: 8/31/2007

Case Identification Household Composition Allegations Investigative Actions Investigative Findings Local Protocol Safety Assessment Risk Assess Profile Progress Notes

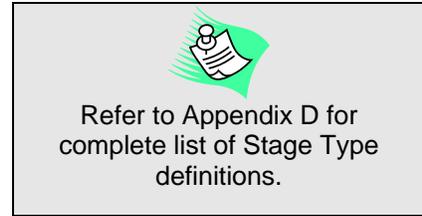
Stage ID	Stage Name	Stage	Stage Type	Stage Opened	Stage Closed	Det.	Event Status	Reason Stage Closed	Stage Classification
24191480	Collins,Kristi	INV	SUB	8/31/2007		IND	COMP	Case open-CPS required	CPS - Familial
24191433	Collins,Kristi	FSS	CWS	8/27/2007					
24191432	Collins,Kristi	FSI	CWS	8/27/2007	8/27/2007				

Worker Name	Role	Telephone Number	District or Regional Office
Ghaus,Walid	Primary	(212) 828-7350 ext.	Manhattan Field Office

Intake Narrative Help On Narratives Generate Report Close

The **Case Identification** tab is active when the *Child Protective Record Summary* window is first opened. This is the only tab in the *Child Protective Record Summary* window that contains information for more than one stage. Information contained in the remaining tabs is specific to the INV stage listed in the heading. When the **Case Identification** tab is opened, the stage that was selected on the *Case Summary* window will be highlighted.

The **Case Identification** tab includes two grids. The first details all the Intake (INT), Investigation (INV) and Administrative Review (ARI) stages (open or closed) for Initial (INI), Subsequent (SUB), Duplicate (DUP) or Additional Information (ADD) reports associated with the selected case. Agency staff will only see the stages they have access to listed in grid. For each stage, the following information will appear in the grid:



Stage ID	The unique, identifying number assigned to the stage by CONNECTIONS.
Stage Name	The Stage Name assigned to the stage by the SCR at Intake.
Stage	A grouping of casework activities related to a particular time frame, case status or casework action within the context of the overall case.
Stage Type	Indicates one of four types of reports of abuse or neglect recorded by the SCR. Refer to Appendix D for complete list Stage Type definitions.
Stage Opened	The date the stage was opened.
Stage Closed	The date the stage was closed.
Det.	A caseworker's determination on a report of child abuse or maltreatment upon completion of an investigation.
Event Status	The status of the corresponding event as displayed on the Stage Information grid.
Reason Stage Closed	The reason the investigation stage was closed as documented by the worker in CONNECTIONS.
Stage Classification	The classification of the stage, which includes the following: <ul style="list-style-type: none"> • CPS – Foster Care/Day Care (FC/DC) • CPS - Familial • CPS – Institutional Abuse (IAB) • Non-Report

The second grid will display all workers associated with the stage selected in the first grid. For each worker, the following information displays:

Worker Name	The name of the worker assigned to the stage of the case.
Role	The role of the worker in the stage.
Telephone Number	The telephone number of the worker assigned to the stage.
District or Regional Office	The district or regional office that the worker assigned to the stage is affiliated with.

Household Composition Tab

Child Protective Record Summary

File Help

Case Name: Collins,Kristi INV Stage ID: 24191431 Stage CD: Fatality Report
Case ID: 22150678 Report Date: 8/27/2007

Case Identification **Household Composition** Allegations Investigative Actions Investigative Findings Local Protocol Safety Assessment Risk Assess Profile Progress Notes

Addr	Name	Person Id	Rel/Int	D.O.B.	Sex	Role	Ethnicity	Race
1	Collins,Kristi	29711371	Mother	1/1/1963	F	Alleged Subject	Not Reported	Not Reported
1	Collins,Patrick	29711372	Child	1/1/2002	M	Abused Child	Not Reported	Not Reported

Addr Id	Address	City	State	Zip	Cnty	CD	Phone
1	67 N PEARL ST	ALBANY	NY	12207-2711	001		N/A

Intake Narrative Help On Narratives Generate Report Close

The **Household Composition** tab lists all persons involved in the INV stage. The tab includes two grids. The upper grid lists all persons involved in the INV stage. For each person listed, the grid includes demographic information such as name, Person ID and role in the stage. Specifically, the grid contains the following columns of information for each person associated with the stage:

- Addr** The Address Identification number. This number is used to match people listed in the Person grid with an address found in the Address grid below.
- Name** The person's full name.
- Person ID** The person's unique, system-generated identification number.
- Rel/Int** The Relationship/Interest of the person on the list. This value normally relates to the Rel/Int of the person with the context of the home and not the Family Relationship Matrix.
- DOB** The person's date of birth.
- Sex** The gender of the person on the list.

Age	The age of the person on the list.
Role	<p>The role of the person in the stage. In CONNECTIONS, specific roles are used only for CPS cases during the Intake and Investigation stages.</p> <p>Role refers to an individual's involvement in an alleged abuse or maltreatment incident. All persons involved in a case (principals and collaterals) must be assigned a role. All principles who are associated with one or more allegations at intake will have an intermediate role of Alleged Subject, Abused Child or Maltreated Child. Overall Roles at the conclusion of the Investigation are Confirmed Subject, Confirmed Abused, Confirmed Maltreated, Non-Confirmed Subject, Non Confirmed Abused, or Non-Confirmed Maltreated, depending on whether the allegations have been Substantiated or Unsubstantiated. Collaterals will always have a "No Role" role. For specific role definitions see Appendix C.</p>
Ethnicity	The ethnic background of a person on the list.
Race	The race of a person on the list. "Multiple" displays if more than one race is selected.
Language	The language spoken by a person on the list.
SSN	The Social Security number of the person on the list.
Religion	The religion of a person on the list.

The lower grid contains address and phone number information for all persons involved in the stage. The address includes primary address (lines 1 and 2 from the *Address List Detail* window). When you select a person in the upper grid by clicking on their name, that person's address information will be highlighted in the lower grid. Even if more than one person listed in the upper grid is living at an address, each address only appears in the lower grid once. Each address has an "Address ID" number, which also appears in the upper grid, linking each person with one of these addresses. This allows you to see all persons living at the same address.

Allegations Tab

Child Protective Record Summary

File Options Help

Case Name: Collins,Kristi INV Stage ID: 24191480 Stage CD:
Case ID: 22150678 Report Date: 8/31/2007

Case Identification Household Composition **Allegations** Investigative Actions Investigative Findings Local Protocol Safety Assessment Risk Assess Profile Progress Notes

MA/AB Child	Child Id	Alleged Subject	Subject Id	Allegation	UNSUB/SUB	Stage
Collins,Patrick	29711372	Collins,Kristi	29711371	Educational Neglect	SUB	INT
Collins,Patrick	29711372	Collins,Kristi	29711371	Excessive Corporal Punishment	SUB	INV
Collins,Patrick	29711372	Collins,Kristi	29711371	Lacerations, Bruises, Welts	SUB	INV

Injury Side	Injury Area	Injury Type	Injury Cause	Comments
Left	Head/Face	Bruise/hematoma	Hit/Slap	<input checked="" type="checkbox"/>

Reporter/Source

A recorded allegation describes who did what to whom. CONNECTIONS provides for recording multiple combinations of allegations between the alleged subject and the abused or maltreated child. All allegations identified at intake or during the investigation must be addressed prior to making a determination.

The upper grid of the **Allegations** tab lists the following information for all allegations for the INV stage:

- MA/AB Child** The name of a child who is an alleged victim of maltreatment or abuse for this report.
- Child ID** The child's unique, system-generated identification number. Please note this is the same number as the Person ID in other CONNECTIONS windows, but is labeled Child ID in CPRS to clearly distinguish the child's Person ID number from the subject's Person ID number in the grid.
- Alleged Subject** The **Alleged Subject** column displays the name of every person listed in the stage who is identified as the perpetrator related to the specific allegation.

Subject ID	The unique identification number assigned to the Alleged Subject by CONNECTIONS. Please note this is the same number as the Person ID in other CONNECTIONS windows but is labeled Subject ID in CPRS to clearly distinguish the subject's Person ID number from the child's Person ID number on the Allegation grid.
Allegation	A specific allegation of abuse or maltreatment associated with each MA/AB Child.
Unsub/Sub	The caseworker's decision resulting from the investigation regarding whether or not each allegation in the report is Substantiated (SUB) or Unsubstantiated (UNSUB). A blank column indicates a determination has not yet been made.
Stage	This field specifies the stage (INT or INV) in which the allegation was recorded. Allegations are recorded in the INT stage by the SCR worker. Additional allegations can be identified during the investigation and those allegations are added in the INV stage.

The lower grid of the **Allegations** tab displays injury details for a selected allegation. In order to view injury details, an allegation must be selected in the upper grid. A checkmark displayed in the Comments column of the lower grid identifies when there are comments listed for the injury. Comments are not required by CONNECTIONS. Many times, information that links injuries to allegations will be recorded in the narrative sections and the **Comments** field will be empty.

For Agency staff, the **Intake Narrative** and **Reporter/Source** buttons are disabled since they may reveal reporter/source identifying information.



Refer to Appendix B for a list of allegations and corresponding CONNECTIONS codes.

Investigative Actions Tab

Child Protective Record Summary

File Help

Case Name: Collins, Kristi INV Stage ID: 24191431 Stage CD: Fatality Report
Case ID: 22150678 Report Date: 8/27/2007

Case Identification Household Composition Allegations **Investigative Actions** Investigative Findings Local Protocol Safety Assessment Risk Assess Profile Progress Notes

Response	Action	Comments
Yes	Initiated investigation within 24 hours?	<input checked="" type="checkbox"/>
Yes	Reviewed previous reports and safety assessments?	<input type="checkbox"/>
Yes	Contacted sources?	<input type="checkbox"/>
Yes	Consulted office of legal affairs when denied entry to household?	<input type="checkbox"/>
Yes	Interviewed each child residing in the household?	<input type="checkbox"/>
Yes	Interviewed each subject and each parent?	<input type="checkbox"/>
Yes	Explained each allegation to subject(s) and non-subject parent(s) ?	<input type="checkbox"/>

Intake Narrative Help On Narratives Generate Report Close

The **Investigative Actions** tab displays the investigative actions questions for the selected stage. The **Response** column indicates whether the action listed on that line was completed. The **Comments** column displays a check mark if comments were recorded for that action. Double-clicking on an Investigation Action opens the *Investigative Actions Comments* window, which displays any comments recorded for that action.

If no data has been saved on the *Investigation Actions* window, the **Investigative Actions** tab on the CPRS is blank.

Investigative Findings

Child Protective Record Summary

File Options Help

Case Name: Collins, Kristi INV Stage ID: 24191480 Stage CD:
Case ID: 22150678 Report Date: 8/31/2007

Case Identification Household Composition Allegations Investigative Actions **Investigative Findings** Local Protocol Safety Assessment Risk Assess Profile Progress Notes

Investigation Dates:

Intake Received: 08/31/2007 Time: 03:30 PM
Incident Occurred: Time:
Investigation Begun: 08/31/2007
Investigation Completed: 10/01/2007

Risk Rating:
Determination: Indicated Duplicate Stage ID:
Closure Reason: Case open-CPS required

High Risk Comments
 Fatality - NO Surviving Children

View Narrative

Intake Narrative Help On Narratives Generate Report Close

The **Investigative Findings** tab on the CPRS displays the information recorded on the CPS *Investigation Conclusion* window. The following fields display on the **Investigative Findings** tab:

- Intake Received** The date the Intake report was received at the SCR.
- Time** The time the Intake report was received at the SCR.
- Intake Occurred** The date the alleged incident occurred.
- Time** The time the alleged incident occurred.
- Investigation Begun** The date the investigation began.
- Investigation Completed** The date the investigation was completed.
- Risk Rating** The Final Risk Rating on the **Risk Assess Profile** tab.
- Determination** The determination of the stage (Unfounded/Indicated).
- Closure Reason** The reason for closing the stage, as indicated by the caseworker.

Duplication Stage ID	The selected stage number that the current stage duplicates when an investigation is closed as duplicate.
High Risk Comments	A checkmark displayed indicates High Risk comments exist for a stage.
Fatality – No Surviving Children	A checkmark displayed indicates there was a fatality and there are no surviving children.

On this tab, the Investigation Conclusion Narrative is accessed via the **View Narrative** button. This window contains specific information about the determination of the child abuse report in narrative format.



If you click on the **View Narrative** button on this tab before the Investigation Conclusion Narrative has been saved on the *CPS Investigation Conclusion* window, the following message displays:

“Investigative Findings not on file.”

Click on the **OK** button to close the message.

Local Protocol Tab

The screenshot displays a software window titled "Child Protective Record Summary". At the top, there is a menu bar with "File", "Options", and "Help". Below the menu bar, case information is displayed: "Case Name: Collins, Kristi", "INV Stage ID: 24191480", "Stage CD:", "Case ID: 22150678", and "Report Date: 8/31/2007". A horizontal row of tabs is visible, including "Case Identification", "Household Composition", "Allegations", "Investigative Actions", "Investigative Findings", "Local Protocol" (which is highlighted), "Safety Assessment", "Risk Assess Profile", and "Progress Notes". The main content area is mostly empty, with a single "Edit Narrative" button centered. At the bottom of the window, there are four buttons: "Intake Narrative", "Help On Narratives" (which is highlighted with a dashed border), "Generate Report", and "Close".

The **Local Protocol** tab is used by those districts that have submitted a district-specific template (ACS, Delaware, Erie, Putnam and Suffolk) for recording additional investigation information. Districts using the Local Protocol template still need to complete progress notes using the **Progress Notes** tab. The Local Protocol templates only contain additional information that is not included as part of the narrative or data fields on the **Progress Notes** tab and that is not included anywhere else in CONNECTIONS. For example, ACS workers will use the Casework Practice Recording Template (CPRT) available on the **Local Protocol** tab to record information such as domestic violence screening. If this tab is disabled, there is no Local Protocol for this case.

Safety Assessment Tab

Child Protective Record Summary

File Options Help

Case Name: Collins,Kristi INV Stage ID: 24191480 Stage CD:
Case ID: 22150678 Report Date: 8/31/2007

Case Identification	Household Composition	Allegations	Investigative Actions	Investigative Findings	Local Protocol	Safety Assessment	Risk Assess Profile	Progress Notes
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Assessment Date	Type	EventTXDate	Status	Decision
09/17/2007	CPS 7 day	09/17/2007	APRV	2. One or more safety factors are present, however, these factors

The **Safety Assessment** tab lists all Safety Assessments associated with the INV stage. The following information is provided for each assessment: Assessment Date, Decision, Event Date, and Status. When the **Safety Assessment** tab is selected the most recent Safety Assessment is highlighted. To view information on another Safety Assessment, click on it and it will be highlighted. The following buttons display at the bottom of the **Safety Assessment** tab:

- To Do** Creates a Task To-Do for the Safety Assessment. This button is disabled for agency staff.
- Submit** Submits the Safety Assessment to the supervisor for approval. This button is disabled when the CPRS is accessed via the *Event List*.
- Approval Status** Opens the *Approval Status* window, which displays the status of a submitted Safety Assessment. This button is disabled for agency staff.
- New** Opens the *Safety Assessment* window. This button is disabled when the CPRS is accessed via the *Event List*.
- Detail** Opens the selected Safety Assessment.

Print

Opens the *Print Preview* window from which you can print the selected Safety Assessment. For agency staff, the button is disabled for an Under Investigation stage.



- 1 Select the Safety Assessment you want to view.
The Detail button enables.
- 2 Click on the **Detail** button.
The selected Safety Assessment displays.

Tabs on the Safety Assessment Window

The *Safety Assessment* window contains four tabs:

- Safety Factors
- Mitigating Strengths/Resources
- Safety Decision
- Safety Interventions

The tabs provide convenient access to information contained in the Safety Assessment. The tabs can be accessed/viewed in any order.

Safety Factors Tab

The screenshot shows a software window titled "Safety Assessment - Hammond, Theresa - S:22159245/C:21101457". The window has a menu bar with "File", "Options", and "Help". Below the menu bar, there are two dropdown menus: "Date:" set to "7/24/03" and "Type:" set to "CPS 7 day". The main area of the window is divided into four tabs: "Safety Factors", "Mitigating Strengths/Resources", "Safety Decision", and "Safety Interventions". The "Safety Factors" tab is active. It contains a section titled "Assess for the presence of each of the following safety factors. Check all factors that apply." with a list of four unchecked checkboxes and their descriptions. Below this list is an unchecked checkbox labeled "No Safety Factors Identified". To the right of this list is a large yellow rectangular area with the text "Describe the relevant behaviors and/or circumstances:". Below the yellow area is a "Spell Check" button. At the bottom of the window, there is a "Please select those factors that place the child(ren) in immediate danger of serious harm." section with one unchecked checkbox and its description. At the very bottom, there are four buttons: "Complete?" (with "NO" selected), "Save", "Save and Submit", and "Cancel".

The upper half of the tab contains a list of Safety Factors with corresponding checkboxes. The selected Safety Factors display in the grid in the lower half of the tab.

The Narrative field on the right side of the tab is used to record a description of the relevant behaviors and/or circumstances related to the selected Safety Factors.

The bottom grid is populated with the selected Safety Factors. A checkmark in this list indicates the selected safety factor places the child(ren) in immediate danger of serious harm.

Mitigating Strengths/Resources Tab

The screenshot shows a software window titled "Safety Assessment - Hammond, Theresa - S:22159245/C:21101457". The window has a menu bar with "File", "Options", and "Help". Below the menu bar, there are two dropdown menus: "Date: 7/24/03" and "Type: CPS 7 day". The main area of the window is divided into four tabs: "Safety Factors", "Mitigating Strengths/Resources" (which is selected), "Safety Decision", and "Safety Interventions". Below the tabs, there is a text area with the instruction: "Please identify any family strengths, protecting factors, and/or family, neighborhood or community resources available and describe how they mitigate or address safety concerns for the child(ren).". Below the text area is a toolbar with icons for undo, redo, save, print, and other standard editing functions. At the bottom of the window, there is a "Complete?" field with the value "NO" and three buttons: "Save", "Save and Submit", and "Cancel".

The **Mitigating Strengths/Resources** tab allows you to view a narrative describing any family strengths and/or neighborhood or community resources available and how they mitigate or address safety concerns for the child(ren).

Safety Decision Tab

Safety Assessment - Hill, Jean - 5:23901002/C:33900600

File Options Help

Date: 5/25/2005 Type: CPS 7 day

Safety Factors Mitigating Strengths/Resources **Safety Decision** Safety Interventions

Identify the safety decision by checking the appropriate line below. This decision should be based upon the assessment of immediate danger of serious harm, family strengths and/or family, neighborhood or community resources that mitigate or address safety concerns, and safety interventions initiated. Check one line only.

Check Decision

1. No safety factors were identified at this time. Based on currently available information, there are no child(ren) likely to be in immediate danger of serious harm.

2. One or more safety factors are present, however, these factors do not place a child in immediate danger of serious harm and/or the existence of family strengths, resources or other mitigating circumstances has effectively removed the threat of immediate danger for the child(ren).

3. One or more safety factors are present, which place a child in immediate danger of serious harm, and controlling safety interventions have been initiated. Based on the controlling safety interventions, the child(ren) will remain in the home at this time.

4. One or more safety factors are present, which place a child's life or health in imminent danger and removal to foster care or alternative placement (or continued placement) is the only controlling safety intervention possible for one or more of the children.

5. One or more safety factors are present, which place a child in immediate danger of serious harm, but caretaker(s) has refused access to the child or fled, or child's whereabouts are unknown. Appropriate legal/investigative actions are being taken.

Placement

Complete? NO Save Save and Submit Cancel

The **Safety Decision** tab provides decisions that are consistent with casework practice. A Safety Decision is a CPS worker's conclusion regarding whether the child is safe in the home. Workers use all of the other components of the Safety Assessment to support this decision: the assessment of immediate danger of serious harm; family strengths and/or family, neighborhood or community resources that mitigate or address safety concerns; and safety interventions that have been initiated. Only *one* Safety Decision can be selected.

Safety Interventions Tab

Safety Assessment - Hammond, Theresa - 5:22159245/C:21101457

File Options Help

Date: 7/24/03 Type: CPS 7 day

Safety Factors Mitigating Strengths/Resources Safety Decision **Safety Interventions**

Interventions must control for the immediate health and safety of the child(ren). Please check all that apply.

Check	Interventions
<input type="checkbox"/>	Intensive Home Based Family Preservation Services
<input type="checkbox"/>	Emergency Shelter
<input type="checkbox"/>	The non-offending caretaker is moving to a safe environment with the children.
<input type="checkbox"/>	Authorization of emergency food/cash/goods
<input type="checkbox"/>	Judicial Intervention
<input type="checkbox"/>	Law Enforcement Involvement
<input type="checkbox"/>	Emergency Medical/Mental Health Services
<input type="checkbox"/>	Immediate and regulated in-home supervision/monitoring
<input type="checkbox"/>	Emergency Alcohol Abuse Service
<input type="checkbox"/>	Emergency Drug Abuse Services
<input type="checkbox"/>	Correction or removal of hazardous/unsafe living conditions

Explain how the selected interventions control for the safety of the child(ren).

Spell Check

Complete? NO Save Save and Submit Cancel

When CPS workers determine that the child(ren) is not safe in the current home environment, the **Safety Interventions** tab provides for selecting interventions that control for the immediate health and safety of the child(ren). Selected Safety Interventions indicate which intervening action has been taken to support the child's safety based on the Safety Factors and Safety Decisions. Each Safety Intervention is supported by comments.

The **Safety Interventions** tab is divided into two sections: the left side contains a list of interventions designed to control for the immediate health and safety of the child(ren); while the right side contains a narrative field for comments that describe *how* the selected interventions control for the immediate health and safety of the child(ren).

Risk Assess Profile Tab

Child Protective Record Summary

File Options Help

Case Name: Collins, Kristi INV Stage ID: 24191431 Stage CD: Fatality Report
Case ID: 22150678 Report Date: 8/27/2007

Case Identification Household Composition Allegations Investigative Actions Investigative Findings Local Protocol Safety Assessment **Risk Assess Profile** Progress Notes

Effective Date: 8/28/2007 Primary Caretaker: Describe the relevant behaviors and/or circumstances:
Secondary Caretaker:

Question 1:
1. Total prior reports for adults and children in RAP family unit:
Verify System Response is Accurate

No.	Questions 2-6:	Yes	No
2	Child(ren) in RAP family unit was in the care or custody of substitute caregivers or foster parents, at any time prior to the current report:	<input type="radio"/>	<input type="radio"/>
3	Child(ren) under one year old in RAP family unit:	<input type="radio"/>	<input type="radio"/>

Spell Check

No.	Questions 7-15:	Primary Yes	Primary No	Secondary Yes	Secondary No
7	Caretaker is a perpetrator of, or victim of, domestic violence; or has serious conflicts with other adults	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8	Caretaker(s) with alcohol abuse problem within the past two years, with risk of not meeting responsibilities:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Preliminary Risk Score:
Preliminary Risk Rating:
Final Risk Rating:

Approval Status: Elevated Risk Complete Save and Submit Save Cancel

Intake Narrative Help On Narratives Generate Report Close

The Risk Assessment Profile (RAP) is a research-based assessment tool that estimates the likelihood of recurrence of child abuse and maltreatment. It is the result of a research study that examined the relationship between family characteristics and subsequent indicated child abuse and maltreatment reports for actual cases in New York State. Research-based (actuarial) risk assessment models have consistently proven to be more reliable and accurate than consensus-based models in determining the likelihood of future abuse or maltreatment, even when the consensus-based models have been utilized by experienced workers.

The RAP classifies cases into four risk categories (Low, Moderate, High or Very High), based on the probability of future abuse or maltreatment.

High Risk and Very High Risk Cases

- Services are deemed essential in order to decrease the risk of subsequent abuse or maltreatment.
- If closing a case with High or Very High risk, an explanation of why services are not being provided is required at the investigation conclusion.
- Services should be targeted to High or Very High risk cases, regardless of the report determination (indicated or unfounded).

Moderate Risk and Low Risk Cases

- Families with Moderate or Low risk may have no service needs, or their needs may be appropriately served through informal community resources and/or through existing family strengths, resources or protecting factors within the home.
- The RAP does not replace casework judgment. There may be valid reasons why a service case is opened for a family with Low or Moderate risk. The Primary worker assigned to the stage uses this tab to record the Risk Assessment Profile for the stage.

The RAP is designed to help workers make informed decisions regarding whether to open a case for services. This tool supports your ability and that of your supervisor to classify and measure more accurately the level or severity of risk in a family. The RAP uses various scales to promote and support a structured and rational decision-making approach to case practice, without replacing professional judgment. Workers use the RAP in CONNECTIONS to document information that the RAP then uses to calculate the level of risk.

The **Risk Assess Profile** tab contains the following fields:

Effective Date	In most instances, the Effective Date is current and reflects the date the RAP was initiated.
Primary Caretaker	The Primary Caretaker is an adult (usually the mother) who resides with and is legally responsible for the child(ren).
Secondary Caretaker	The Secondary Caretaker is: <ul style="list-style-type: none">• an adult who lives in the child(ren)'s home and assumes some responsibility for the care of the child(ren); <i>or</i>• an adult who does not reside in the child(ren)'s home, but cares for the child(ren) on a regular basis.
Risk Elements	The Risk Assess Profile tab contains a set of 15 Risk Elements to assess risk: the first six pertain to the RAP Family Unit; the remaining Risk Elements pertain specifically to the caretaker(s).
Risk Element Comments	This field displays comments for <i>each</i> Risk Element. Comments enable workers to document the basis for selecting a particular risk. In order to view the comments you must select the Risk Element.
Verify System Response is Accurate (checkbox)	This checkbox indicates the information pre-filled by the system in Risk Element 1 was accurate for the current RAP. Risk Element 1 reflects the number of prior reports associated with the adults and children in the RAP family unit.
Preliminary Risk Score	This field displays the total score for all of the Risk Elements.

Preliminary Risk Rating	This field displays a rating based on the range in which the Preliminary Risk Score falls.
Final Risk Rating	This field is based on the presence or absence of any of the Elevated Risk Elements. The presence of <i>any</i> Elevated Risk Element automatically raises the risk rating to Very High. The Final Risk Rating is calculated once you have responded to <i>all</i> of the Elevated Risk Elements.
Complete (checkbox)	This checkbox signifies that you have completed all components of the RAP.

The following buttons display at the bottom of the **Risk Assess Profile** tab:

Approval Status	This button opens the <i>Approval Status</i> window.
Elevated Risk	This button opens the <i>Elevated Risk Elements</i> window.
Save and Submit	This button saves the changes to the database and generates a Task To-Do for your supervisor/Unit Approver to review and approve the RAP. This button is disabled when the CPRS is accessed via the <i>Event List</i> .
Save	This button saves the changes to the database. This button is disabled when the CPRS is accessed via the <i>Event List</i> .
Cancel	This button clears all data entries you made to the Risk Assess Profile tab since the last time you saved the tab. This button is disabled when the CPRS is accessed via the <i>Event List</i> .

Progress Notes Tab

Child Protective Record Summary

File Options Help

Case Name: Collins,Kristi INV Stage ID: 24191480 Stage CD:
Case ID: 22150678 Report Date: 8/31/2007

Case Identification Household Composition Allegations Investigative Actions Investigative Findings Local Protocol Safety Assessment Risk Assess Profile **Progress Notes**

Search Progress Notes

From Event Date: 10/3/2007 To Event Date: 10/3/2007 Type: ...
Author: Family Part: Method:
Entered By: Other Part: Purpose:
District/Agency: Focus: Location:

Event Date	Note Status	Type	Method	Location	Participant	Other Participant	Auth
9/4/2007	Draft	Casework Contact	Face To Face	Case Address	Collins,Kristi; Collins,Patri		Miller,x

Progress notes are kept on all CPS investigations and open child welfare services cases, providing documentation of all casework activities associated with CPS investigations and provision of services. Progress notes document the activities of casework staff and the information acquired during these activities. They also capture the decision-making and actions by you and other staff or service providers to provide for the safety, permanency and well being of children and to reduce the risk of future abuse or maltreatment. Progress notes include all contacts and attempted contacts made by you or other LDSS or agency staff assigned to the case.

To ensure confidentiality CPS staff record information naming or referencing a reporter/source in progress notes using the "Other Participant" data field with a value of "Reporter/Source." Agency staff will not be able to view progress notes with the "Reporter/Source" value.

The **Progress Notes** tab is comprised of the following sections: the Search Progress Notes filter fields at the top of the tab, the search results grid in the middle of the tab, and various buttons along the tab footer.

The fields at the top of the window are the search filters that can be selected. You can select one, several or all of the search filters for a search list. These filters comprise the bulk of the columns of the search results grid located in the middle of the tab.

From Event Date and To Event Date	Filters within the range of dates you select in the search criteria. To search for one specific event date, enter the same date in both fields. To search on an open-ended date, enter the date in the From Event Date field and leave the To Event Date field blank. All progress notes from that date forward will return in the search. Conversely, the same procedure can be performed with the To Event Date ; all of the notes from that date back will return in the search.
Type	Filters the search results by type of contact as selected from the <i>Type</i> window.
Author	Filters by the author of the note. You select an author from a drop-down list populated with the name(s) of anyone who has already authored a note in the stage.
Family Part. (participant)	Filters the search results by family participant selected from the drop-down list consisting of all persons in the stage.
Method	Filters the results by the Method of Contact from a drop-down list containing possible methods.
Entered By	Filters the search list by the Entered By person; the drop-down list is comprised of all workers who have recorded notes.
Other Part. (participant)	Filters the search (by category, not name) by others outside the <i>Person List</i> for the case who may be participants or contacts involved in the case. You select the Other Participant's <i>category</i> , not name, from a drop-down list.
Purpose	Filters the results by the purpose of the contact.
District/Agency	Filters the search results by the code of the district/agency of the Entered By worker.
Focus	Filters the results by the person who is the focus of the note. This field contains a drop-down list comprised of possible focuses.
Location	Filters the results by the location of the contact.

The search results grid displays many of the fields listed above, as well as fields on the *Progress Notes Detail* window. (Many of these fields are listed on both the **Progress Notes** tab and the *Progress Notes Detail* window.) There are three filters that do not display on either the *Progress Notes Detail* window or the **Progress Notes** tab in the search filters, but that do display in the search results grid:

- **Note Status** indicates whether the note is in “Final” or “Draft” status.
- **Addendum** indicates whether or not an addendum has been added to the note.
- **Copied From** indicates the stage from which the note was copied. This never prints on any of the Progress Notes Data Reports.

Searching for Progress Notes

You may find it useful to search for notes from time to time. For example, you may want to view notes that have already been recorded in CONNECTIONS to review what has occurred throughout course of the investigation. A progress notes search is conducted on the **Progress Notes** tab.

By default, when you access the **Progress Notes** tab, the search results grid displays all viewable progress notes for the stage. The most recent notes display at the bottom of the list.

You may want to view notes that contain certain criteria. For example, you may want to display only the notes in which a particular family member is the focus. Use a progress notes search to display only those notes with the focus on that family member. Searching retrieves a list of existing progress notes for a stage that meet the search criteria.

Once you have selected a note, the **View Note** and **Print Note(s)** (for Indicated stages) buttons enable.



Step-by-Step: Searching for Progress Notes

- 1 Click on the **Progress Notes** tab on the CPRS.
*The **Progress Notes** tab displays with a list of notes that have been saved for that stage.*
- 2 Enter search criteria in the data fields in the upper half of the window.
Multiple fields can be used to search for notes; however, keep in mind that the more search criteria you enter, the more limited your search will be.
- 3 Click on the **Search** button.
The search results display with all notes that match the search criteria.

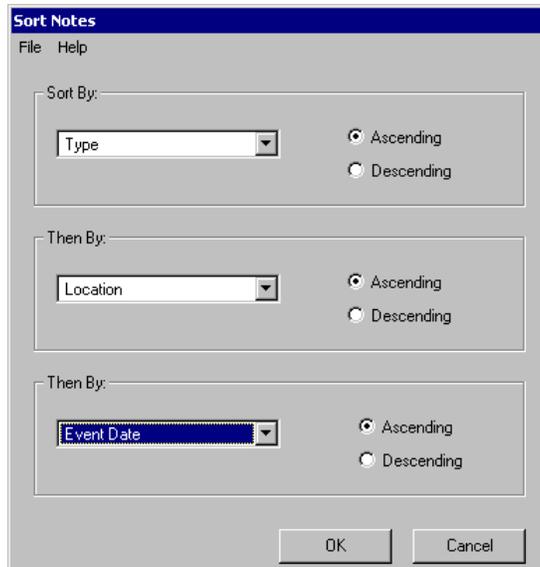


Click on the **Refresh List** button to remove the sorts and/or search criteria that have been selected.

Sorting Progress Notes

By default, progress notes are sorted in descending order by Event Date and Time (i.e., notes with most recent Event Dates and/or Times are listed above notes with older Event Dates and/or Times). However, notes with no Event Date (“Summary” **Type** are the only progress notes that do not require an Event Date) display above all other notes in the list, sorted based on Entry Date/Time. Along with the default sort, there are two methods available for sorting the notes:

- In the search results list, click on the desired column heading by which you want to sort the notes. The list displays in ascending order.
- Click on the **Sort** button to open the *Sort Notes* window. Select up to three sort criteria. Select ascending or descending order for each sort within the *Sort Notes* window.



Progress notes are sorted by any column heading on the grid. Sorting also provides the ability to select the **Note Status**, **Addendum** and **Copied From** fields, which are included in the search results grid, but not on the *Progress Notes Detail* window.



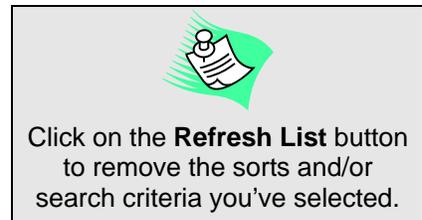
Step-by-Step: Sorting Progress Notes

- 1 To sort the existing columns in descending order, from the **Progress Notes** tab, click on the column heading by which you wish to sort.
The column sorts in descending order.

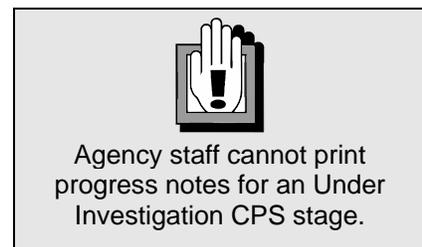
—OR—

To sort notes in ascending order and/or by multiple criteria, click on the **Sort** button.
The Sort Notes window displays.

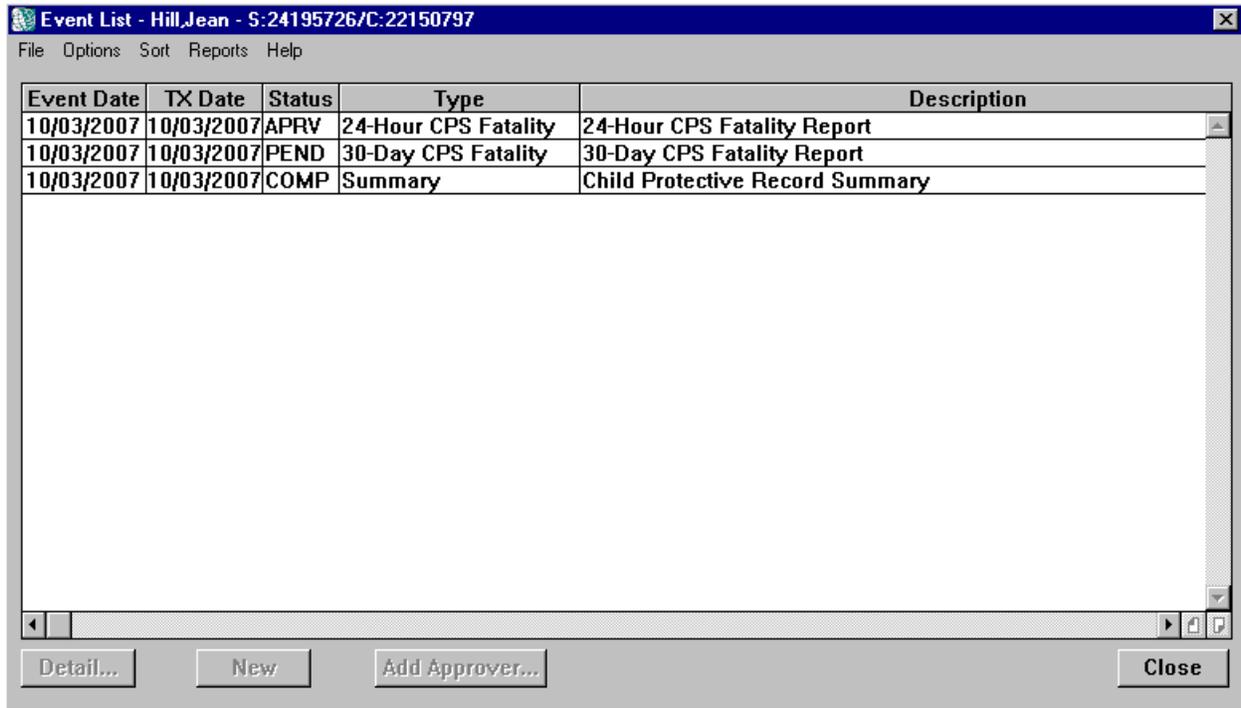
- 2 Select up to three sort criteria in the three sort fields by clicking on the corresponding drop-down arrow and selecting from each resulting list.
- 3 To specify **Ascending** or **Descending** order, click on the corresponding radio button.
- 4 Click on the **OK** button to complete the sort.
The Progress Notes tab displays with the list sorted.



Within the list of notes, you can select one, several or all of the notes. To select one note at a time, simply click on each note to highlight it. Once you have selected a note, it can be viewed. To select all of the notes, click on the **Select All** button. When you select progress notes for printing, they will print as one document, listed from oldest to newest. Agency staff are strongly urged not to print progress notes from an Indicated INV stage.



Fatality Reports



The screenshot shows a window titled "Event List - Hill, Jean - S:24195726/C:22150797". The window contains a table with the following data:

Event Date	TX Date	Status	Type	Description
10/03/2007	10/03/2007	APRV	24-Hour CPS Fatality	24-Hour CPS Fatality Report
10/03/2007	10/03/2007	PEND	30-Day CPS Fatality	30-Day CPS Fatality Report
10/03/2007	10/03/2007	COMP	Summary	Child Protective Record Summary

Below the table are buttons for "Detail...", "New", "Add Approver...", and "Close".

Reports from the SCR that identify a DOA/Fatality allegation require a special response. Fatality Reports are required to be completed within 24 hours of the SCR report and at 30 days. These reports are accessible from the *Event List* and are used to document identifying data and to provide preliminary information surrounding a child's death. CPS workers must complete both a 24-Hour Fatality Report and a 30-Day Fatality Report. In addition, all fatality investigations require a 24-hour Safety Assessment.



Step-by-Step: Accessing the a Fatality Report via Implied Role

- 1 Click on the **WORK** button on the CONNECTIONS Toolbar.
The Assigned Workload displays.
- 2 Click on an FSS stage to select it.
- 3 Click on the **Options** menu and select **Person List**.
The Person List window displays.
- 4 Click on a person's name from the results in the Person Search List.
- 5 Click on the **Options** menu and select **Case List**.
The Case List window displays, containing a list of cases with which the selected individual is associated.
- 6 Click on a case to select it.
*The **Summary** button enables.*

- 7** Click on the **Summary** button
The Case Summary window displays.
- 8** Click on the INV stage to select it.
The following message displays: "You are accessing a Child Protective Services (CPS) case. Information found in a CPS case, including identifying information regarding the source of the report or the person who made the report is confidential and may only be re-disclosed where authorized by law. If any reporter or source information is disclosed to you, either through your work on the case or in reviewing the case record, you may not re-disclose such information, unless authorized to do so by the written consent of the source or the reporter, by court order or as otherwise authorized by law to do so."
- 9** Click on the **OK** button.
*The **Events** button enables.*
- 10** Click on the **Events** button.
The Event List displays.
- 11** Click on the Fatality Report event to select it from the *Event List*.
*The **Detail...** button enables.*
- 12** Click on the **Detail...** button.
The Output Launch window displays.
- 13** Click on the **Document...** button.
The Child Fatality Report displays.

Support Tools

Online Help

CONNECTIONS Online Help provides descriptions for various windows, as well as step-by-step instructions for common tasks. You can access Online Help at any time, from any window in CONNECTIONS by clicking on the **Help** menu or pressing the **F1** key on your keyboard.

The **Contents**, **Index** and **Search** tabs in Online Help allow you to search for and navigate to the topic(s) you need help on.



Step-by-Step: Accessing Online Help

- 1 Click on the **Help** menu on the CONNECTIONS Toolbar.

The following list of commands displays:

Contents	<i>A table of contents for the help facility with links to major sections.</i>
How Do I?	<i>Step-by-instructions to help you complete tasks using CONNECTIONS.</i>
Window Descriptions	<i>Descriptions of windows in CONNECTIONS, along with information on various fields.</i>
DSS Policy	<i>Online OCFS policy handbooks (under revision).</i>
Help On This Window	<i>Window description help for the window you are on.</i>
Help for Help	<i>Instructions on how to use the help functionality.</i>
About CONNECTIONS	<i>Information about the current CONNECTIONS version and build.</i>

- 2 Click on a command from the **Help** menu.
*The window related to your selection displays. In some cases, you will need to make another selection in that window to obtain instructions. At the top of each window you will see additional buttons and menus. Use the **Search** button to search for specific information in the Help function and use the **Back** button to return to windows you have just visited in Help. The **Glossary** button opens a list of important CONNECTIONS terms and the **Print** button allows you to print Help information.*
- 3 When you are done reviewing information in Help, close each *Help* window by clicking on the **Close** button (☒) in the top right corner of the window.
The system returns to the window you were using when you accessed Help.

Enterprise Help Desk

The New York State Office for Technology (NYS OFT) Enterprise Help Desk staff is available to answer basic questions related to your equipment or to solve problems you are having with the CONNECTIONS application. If they cannot solve your problem, they will record your information and forward it to others who can.

Your agency may have procedures in place for contacting the Enterprise Help Desk. Check with your supervisor before you call.

The Enterprise Help Desk is staffed 24 hours a day, seven days a week. The telephone number is:

1-800-NYS-1323
(1-800-697-1323)

When you call the Enterprise Help Desk with a problem, you will be given a ticket number to use for tracking your issue and its resolution. Keep a record of this number; you will need it for any follow-up conversations with the Enterprise Help Desk.

OCFS CONNECTIONS Intranet Site

A variety of training-related materials are available from the OCFS CONNECTIONS intranet site (<http://ocfs.state.nyenet/connect/>). The intranet site contains a wealth of information related to various aspects of CONNECTIONS, including training schedules, Alerts and Notices, Step-by-Step Guides (including the *CONNECTIONS Case Management Step-By-Step Guide*), Job Aids and Frequently Asked Questions (FAQs). Release Notes – a complete list of the modifications, enhancements, fixes and impacts in the Build – is also available from the CONNECTIONS intranet site.



Step-by-Step: Accessing the OCFS CONNECTIONS Intranet Site

- 1 From your local desktop, double-click on the **Internet Explorer** icon.
- 2 If the browser does not display the OCFS intranet site automatically, enter <http://ocfs.state.nyenet> into the browser's address line and press the **Enter** key on your keyboard.
The OCFS intranet home page displays.
- 3 Click on the **CONNECTIONS** link.
The CONNECTIONS home page displays.
- 4 Click on a topic to access information. For access to various Step-by-Step Guides and Job Aids, click on the **Step-by-Step/Job Aids/Tips** link. For access to Release Notes for a Build, click on the **Implementation** link.
- 5 To close Internet Explorer, click on the **File** menu and select **Close**.

Appendix A

Questions and Answers for Build 18.9.3

Agency Access to the CPS Investigation Stage

Common Abbreviations used in this Q and A:

- CPRS – Child Protective Record Summary – the tabbed presentation within the CONNECTIONS CPS Investigation stage (INV) in which CPS staff document activities associated with a CPS investigation
- CPS – Child Protective Services
- DC/FC – Day Care/Foster Care Investigation (investigations involving children in day care or family foster care homes, including supervised independent living programs and agency operated boarding homes)
- FSS – Family Services Stage (the component in CONNECTIONS in which staff document work in ongoing foster care or preventive services cases)
- Implied role – see first question, below
- IAB – Institutional Abuse Investigation (investigations involving children in congregate care)
- INV – Investigation Stage (see CPRS)
- LDSS – Local Department of Social Services
- PID – Person Identifier (the unique number associated with a person in CONNECTIONS)
- VA – Voluntary Agency (including preventive services/contract agency)

HOW THE SYSTEM WORKS

Can you explain what is meant by “implied role”?

If a stage you have a role in shares a person in common (has the same Person Identification) with another stage or case, you have an implied role in the related stage or case. Implied role means that you have a person in a stage on your Assigned Workload in common with a stage that is not on your workload. Although you do not have an *assigned* role in the other stage, a role is *implied* by virtue of the shared person. Implied role provides **view-only access** to these other stages.

Will CPS have access to view CPS history for stages that are in other local districts?

Yes, as has been the case since the beginning of CONNECTIONS, if the CPS worker has an implied role in the other district's stage.

Will the information VA workers now have access to be "read only"?

Yes, VA workers will be able to view, but not modify information for a familial under investigation stage or familial indicated INV stage.

Will Person Search allow VA workers access to INV information?

No, VA workers will access INV information through an implied role path from the workload of the FSS stage that has the person in common with the INV.

Will VA workers be able to view the CPS Intake stage?

No.

Will VA workers be able to view the Intake Narrative in the INV stage?

No, the Intake report narrative and the Miscellaneous Information will not be enabled for VA workers who access an INV stage.

Will VA workers be able to see a history of unfounded investigations?

No, VA staff will not be able to see any unfounded investigation stages, however, CPS staff may identify specific information from an Unfounded INV stage that is relevant to the current investigation, such as establishing a pattern of neglect that could not be substantiated previously, and make the determination that it is appropriate to include such information from the prior unfounded investigations into a current under investigation stage. VA workers will be able to see that information.

Will VA workers have historical access to an INV stage after their case is closed?

No. VA workers that access a closed case through historical access will not be able to use the implied role to access the INV stage.

Are VA unit approvers/supervisors able to view/access the CPS investigation?

Yes, VA unit approvers or supervisors that have access to a worker's workload will access the workload of their staff and use the implied role to view the INV stage.

How much history will VA workers see?

VA staff with an implied role will be able to view indicated or open Familial INV stages that were initiated on or after January 1, 2006.

Why go back only to January 1, 2006?

This limitation is necessary to secure the identity of the reporter/source in these investigations. With Build 18, CONNECTIONS was enhanced to include a specific location and progress note value within the INV stage progress notes to record the contact a CPS worker has with the source of the report. That data field is now secure (inaccessible to VA staff) and will enable the CPS worker to appropriately document their

contact with the source but also protect the identity of the reporter/source. With the full statewide implementation of Build 18 in October, 2005 all CPS staff were trained on how to correctly use new progress notes values and to minimize the risk of unauthorized access to reporter/source information. All CPS investigation stages effective 1/1/2006 should have all identifying information related to the reporter/source appropriately documented and safeguarded.

Are VA workers able to see INV stage progress notes?

Yes, with the exception of those progress notes where CPS workers select the "Reporter/Source" value in the "Other Participant" field.

Can VA workers document progress notes in the INV stage?

No, VA workers only have view access to an INV. VA workers may not be assigned a role in an INV stage.

Will VA nurses that have a role in the FSS have access to the INV?

Yes, they will have access to the INV. Agencies should review their security and determine if it is appropriate to provide health staff with a role in a case or modify their security access to support "Maintain Health" and/or "View Health" only. These staff may get all necessary access to the Health Services tab in the FSS through the "Maintain Health" or "View Health" business function instead of giving them a role in the case.

Should there be a limit on the number of role assignments an agency makes in order to enhance security?

An LDSS or VA should be judicious in the assignment of roles in order to limit access to CONNECTIONS stages based on a given staff person's "need to know" discrete types of confidential information and their specific job duties.

Is there a report to identify who is accessing the CPRS?

No, there is no report to tell someone who went through implied role to view a CPRS.

Will VA workers be able to view an INV stage if it is marked sensitive?

FSS stages marked sensitive will be able to be seen but only by the VA worker with a role. VA workers will not have access to INV stages that have been marked sensitive.

Can a foster care agency view an INV stage that is made on an agency licensed foster parent?

No, unless there is familial INV stage involving the foster parent's birth/adopted child who is in an FSS in which the agency has a role, and the foster child is listed on that report.

Will VA workers have access to an INV on a person for whom they conducted a database check?

No, unless the VA worker has a role in an open FSS that includes that person.

Will LDSS foster care workers have access to DC/FC stages?

No, FAD and foster care workers will continue to receive alerts, but will not be able to access the stages.

Will the DC/FC cases display on the person list?

Yes, the cases will be returned to the case list, however, when the Summary button is selected a message will be displayed to the user stating that "Case cannot be viewed by Voluntary Agency staff."

Will LDSS workers get access to IAB stages?

No.

Will VA workers be able to view DC/FC or IAB reports that involve their agency?

No, VA workers will only be able to view familial INV stages in which they have an implied role.

When will VA workers get an alert about CPS cases?

Workers with an implied role in a new familial INV will receive an alert notifying them of the existence of a new report. An alert will be sent regarding each "person in common" in the new report. When a report is determined any worker assigned to a FSS that is within the same case number as the INV will receive an alert regarding the outcome of the investigation. VA workers who have a role in the FSS stage will also receive an alert when an INV is merged into the case in which the FSS is also a stage.

When a report has been unfounded are VA workers informed it has been unfounded?

Yes. They will no longer be able to access the stage but if they had an implied role in the case and the INV and FSS stages have the same case number, one of the following

two alerts is generated: "INV Stage <Stage ID> has been determined as Indicated in Case <Case Number>" or " INV Stage <Stage ID> has been determined as Unfounded in Case <Case Number>"

Under what circumstances would VA workers fail to receive an alert if person in an FSS is named in a new CPS report?

Possibly the person has a separate PID in the new INV. CONNECTIONS only recognizes an individual contained in different stages as a "person in common" if that person the same PID.

Will the alert of a new INV and the determination go to Case Planner's supervisor and all caseworkers on the case?

An alert will go to all workers with a role in a stage within the same case umbrella. The unit approver/supervisor will not receive an alert.

What alerts will VA workers get with DC/FC stages?

VA workers will get the same alerts that they do now. If the VA worker has an implied role in the INV, the worker will get an alert but will not have access to the INV information.

Will the LDSS Case Manager's supervisor get the alert in the CM's absence?

No.

Will the new alert look the same as other alerts?

Yes, the alerts will look the same as they do now. VA workers will see a new disclaimer window when they open an INV stage through implied role that reminds them of the protected information contained in the stage. OCFS will explore whether it is possible to make these alerts more visible.

Can events be searched and sorted-to help identify a specific event?

The only events VA workers will see are the CPRS, the 24 Hour Fatality Report and the 30 Day Fatality Report. Event Search is disabled.

Are progress notes in the FSS stage for Foster Care or Preventive Service cases expunged when a case is unfounded?

No, the FSS is not affected if an INV stage that involves a person in common with that FSS is unfounded.

Who will tell VA workers to expunge or amend a record?

This should be not applicable; VA workers should not maintain records related to the INV stage, so there should be no electronic or printed materials that need to be expunged.

Why is having a single PID for a person important? Whose responsibility is it to make sure it is accurate?

Associating all of the information pertaining to a given person under a single person identifier (PID) is necessary to best protect the safety of children and most appropriately address the service needs of family members. The ability of staff serving the family to receive alerts and have access to current and historical information pertinent to their work with the family will be impeded if persons are known by different PIDs in CONNECTIONS. There will be no access via implied role if the person is known by another PID. Generally, it is the responsibility of the LDSS to merge persons, although who specifically within a LDSS is responsible will vary.

Can VA workers print any of the parts of the CPS investigation stage?

Not while the investigation is in process. After the investigation has been indicated, VA workers may print specific tabs (e.g., progress note tab). OCFS recommends that indicated INV stage information not be printed in general. The Generate Report button, which CPS workers use to print an entire CPRS, is not enabled for VA workers. . If any information is printed, it should be shredded when the involvement for the case ends.

Should a VA worker print a copy of the CPS investigation for agency records?

No. VA workers should not print material from INV stages. The information is available in CONNECTIONS and there is no reason for the VA to maintain a hard copy record.

How will differential response (dual track) CPS reports impact VA worker's access to INV stages?

Unknown at this time as that process has not been developed yet.

SOURCE INFORMATION

How do CPS workers securely document the reporter/source information?

CPS workers are required to enter any identifying information related to contacts with the reporter/source in the INV stage progress notes only; using the "Reporter/Source" value in the "Other Participant" field. VA workers do not have access to this type of progress note. CPS workers should not record any reporter/source identifying information in any other narrative field within the INV. Identifying information includes, the name, address, telephone number, organization, etc. that could potentially identify the source of the report.

Can VA workers see the reporter/source progress note?

No. If the source is mistakenly identified in a frozen note, field or other narrative, is there a way to go back and correct this? What should the agency do?

VA workers should notify the LDSS and report the matter to the Help Desk.

The VA worker should not re-disclose this information to any other party.

Can the source be mentioned if it has already been revealed by a third party (i.e. police) or by the source itself (i.e. relative)?

No, CPS and VA workers are still bound by the requirements not to re-disclose the identity of the source.

Are law enforcement staff bound the same rules of confidentiality of the reporter/source?

Yes, law enforcement personnel are bound by the same requirement not to identify the reporter/source of a CPS report.

How do VA workers document contacts with the source (i.e. school nurse, relative) in the FSS progress notes or other narratives if the source is known to us?

VA workers should document contacts with the person who is the reporter/source without specifying that the person is the source.

In the role as mandated reporters, VA workers may advise the clients that they have filed a report. Is that revealing the source?

It is revealing a source, however, the source can give consent to release the information thus, VA workers may discuss with clients that they have made a report without violating confidentiality requirements.

Should VA workers document in CONNECTIONS that they have made a report?

Yes, workers should document in a progress note that they made a report, including instances where the State Central Register does not accept the report. This note remains in progress notes even if the report is subsequently unfounded since the fact that the worker fulfilled a legal mandate should be preserved in the record.

PRACTICE

A VA may receive physical custody of a child before VA workers are assigned a role in a case. How will the workers access the INV stage information?

Traditional communication (telephone, conference) is still necessary. This is a reason to assign VA staff a role as soon as possible. When VA workers are assigned a role in the case, they can review the INV stage using the implied role at that point

How do CPS workers differentiate what type of information is put into a concurrent FSS stage progress note or narrative?

Contact information that pertains to changes in the provision of services to the family should be recorded in the FSS. Contact information that pertains to the conduct of the CPS investigation should be recorded in the INV stage.

Can VA workers refer to and discuss allegations from the CPS investigation with clients?

VA workers should focus on the facts underlying their assessment of family needs and the delivery of services to the family without specific reference to the existence of allegation in a CPS report.

How do VA workers record that they reviewed a CPS report and reviewed and developed a safety plan?

The VA worker should record a review of safety issues without specific reference to the existence of a CPS report. It is also appropriate to document conversations with CPS workers, including information received, again, without specific reference to the existence of a report. Workers should note their own activities in a case, such as joint contacts, but not record the CPS worker's activities.

Should the VA workers document if they accompany a CPS worker on a visit?

Yes, but just address issues and the substance of the contact, not the existence of a CPS report.

What information can the VA worker share with other program areas (i.e. Independent Living, Medical staff, etc.) that do not have a role in CONNECTIONS?

To the extent that information contained in an INV stage is important to the provision of services, it should be shared with program staff within the agency. The standard for sharing information is "need to know," that is, the information a co-worker in your agency need to know in order to perform their duties to provide services and support the child and family effectively.

Do VA workers have to testify to the information found in the CPS investigation, since now it is known to them?

Generally, VA workers testify in court to their record, as opposed to the LDSS CPS record. VA workers should consult their agency's counsel for direction on specific cases.

In NYC, are Preventive Services contract agencies allowed to stop recording progress notes online in a FSS once an INV stage tied to the FSS is unfounded?

If the case is an ADVPO, Preventive Services contract agencies are allowed to discontinue recording progress notes on line after the unfounded determination has been approved and the case is not open with a choice of Protective or Placement. If the case is a CWS, they should continue to record progress notes online until the case becomes an ADVPO FSS stage. The reverse is also true; if an ADVPO case is open and the worker receives an alert that there is an open investigation, the worker MUST immediately begin doing progress notes online in CNNX.

IMPLEMENTATION

Will training/technical assistance be provided to VA workers regarding the Child Protective Record Summary?

A video conference targeted to line staff was held on September 12, 2007. A CD of this video conference is available by contacting the CONNECTIONS regional office representative for your LDSS or VA. In addition, the SUNY Training Strategies Group will release a job aid that contains information concerning the contents of the CPRS on or about October 15, 2007.

What topics of discussion should occur between LDSS and voluntary agencies? Should districts establish written agreements with their agency partners?

LDSS's are encouraged to meet with VA staff to develop local protocols for the handling of open service cases when there is a new CPS report, as well as define their expectations of how VA staff use the CPS information to which they now have access. OCFS has no position relative to whether an LDSS should enter into a written agreement with its contract agencies regarding this access.

Appendix B

Allegation Codes

The following table lists all of the allegations and its corresponding CONNECTIONS code.

Allegation	CONNECTIONS Code
Abandonment	ABAN
Burns/Scalding	BURN
Child's Drug/Alcohol Misuse	CDRG
Choking/Twisting/Shaking	CHTS
Educational Neglect	EDNG
Emotional Neglect	EMOT
Excessive Corporal Punishment	EXCP
DOA/Fatality	FATL
Fractures	FRAC
Inadequate Guardianship	INGD
Inadequate Food, Clothing, Shelter	IFCS
Internal Injuries	IINJ
Inappropriate Custodial Conduct	INCC
Inappropriate Isolation/Restraint	ISOL
Laceration, Bruises, Welts	LABW
Lack of Medical Care	LMED
Lack of Supervision	LSUP
Malnutrition/Failure to Thrive	MITT
Parent's Drug/Alcohol Misuse	PDRG
Poisoning/Noxious Substances	PONX
Swelling, Dislocation, Sprain	SWDS
Sexual Abuse	SXAB
Other	XOTH

Appendix C

Role Definitions

Abused Child

A child is given this role when named in one or more allegations of abuse at Intake.

Maltreated Child

A child is given this role when named in one or more allegations of maltreatment at Intake.

Confirmed Abused

Once the investigation is concluded, the child's role changes from Abused Child to Confirmed Abused if one or more of the allegations of abuse are substantiated.

Confirmed Maltreated

Once the investigation is concluded, the child's role changes from Maltreated Child to Confirmed Maltreated if one or more of the allegations of abuse or maltreatment are substantiated.

Non-Confirmed Abused

Once the investigation is concluded, the child's role changes from Abused Child to Non-Confirmed Abused if all of the allegations are unsubstantiated.

Non-Confirmed Maltreated

Once the investigation is concluded, the child's role changes from Maltreated Child to Non-Confirmed Maltreated if all of the allegations of abuse and/or maltreatment are unsubstantiated.

Alleged Subject

A person who is suspected of being responsible for the alleged abuse and/or maltreatment of a child.

Confirmed Subject

At the conclusion of an investigation, the alleged subject is given the role of Confirmed Subject when one or more allegations involving this person have been substantiated.

Non-Confirmed Subject

At the conclusion of an investigation, the alleged subject is given the role of Non-Confirmed Subject if all allegations for the alleged subject are unsubstantiated.

Appendix D

Stage Type Definitions

Initial Report (INI)

An Initial report is registered by the State Central Register (SCR) when there is no open case or investigation. Although the principals may have been involved in past cases, these cases have been closed prior to the current report. As a result of this type of report, a new case is created in CONNECTIONS. Historical cases involving any of the same individuals will be linked within CONNECTIONS through these individuals.

Subsequent Reports (SUB)

Subsequent reports are those reports made to the SCR concerning families that have:

- a child abuse or maltreatment report under investigation; or
- an open indicated child protective case.

A subsequent report is added to an open case when a call to the SCR contains new or additional allegations, subject(s) or abused/maltreated child(ren), or involves a new incident. Subsequent reports are merged with the original case by the SCR and thereby receive the same Case ID number as that of the original report. However, this report displays on your *Assigned Workload* as a separate report/stage, and it must be investigated and fully documented within CONNECTIONS in the same way that any other report would be.

A new Notice of Existence is required for each subsequent report.

Additional Information Report (ADD)

A reporter may provide the SCR with additional information that is relevant to a CPS case that is either open or under investigation. An Additional Information (ADD INFO) contains no allegations and may include more identifying details (names, addresses, birth dates, relationships, etc.) or other information related to the case. Since an ADD INFO contains no allegations, it is not classified as a report. The SCR transmits an ADD INFO to the local district. The information displays on your *Assigned Workload* with ADD in the Type column.

An Additional Information is merged with the original case by the SCR and thereby receives the same Case ID number as that of the original report. An Additional Information is not progressed to investigation in CONNECTIONS. An Additional Information Intake stage should be closed using the Intake Priority Closure window, after it has been accepted and reviewed by the LDSS.

Duplicate Report (DUP)

A report made that describes the same incident(s), involving the same subjects and child(ren), occurring within the same timeframe as a previously made report, and that does not include any new allegations. Duplicate reports are usually made by different sources. This type of report will show up on the *Assigned Workload* in CONNECTIONS with the label DUP under the Type column.

Duplicate reports are merged with the original case by the SCR and will thereby receive the same Case ID number as the case of the original report. Unlike an initial or subsequent report, a duplicate report is not progressed to an investigation in CONNECTIONS. A duplicate intake stage is closed using the Intake Priority Closure window, after it has been accepted and reviewed by the LDSS.