

## ATTACHMENT A. CAPTA EXCERPT

### SEC. 106 GRANTS TO STATES FOR CHILD ABUSE OR NEGLECT PREVENTION AND TREATMENT PROGRAMS [42 U.S.C. 5106a]

d. ANNUAL STATE DATA REPORTS—Each State to which a grant is made under this sections shall annually work with the Secretary to provide, to the maximum extent practicable, a report that includes the following:

1. The number of children who were reported to the State during the year as victims of child abuse or neglect.
2. Of the number of children described in paragraph (1), the number with respect to whom such reports were—
  - A. substantiated;
  - B. unsubstantiated; or
  - C. determined to be false.
3. Of the number of children described in paragraph (2)—
  - A. the number that did not receive services during the year under the State program funded under this section or an equivalent State program;
  - B. the number that received services during the year under the State program funded under this section or an equivalent State program; and
  - C. the number that were removed from their families during the year by disposition of the case.
4. The number of families that received preventive services, including use of differential response, from the State during the year.
5. The number of deaths in the State during the year resulting from child abuse or neglect.
6. Of the number of children described in paragraph (5), the number of such children who were in foster care.
7.
  - A. The number of child protective service personnel responsible for the—
    - i. intake of reports filed in the previous year;
    - ii. screening of such reports;
    - iii. assessment of such reports; and
    - iv. investigation of such reports.
  - B. The average caseload for the workers described in subparagraph (A).
8. The agency response time with respect to each such report with respect to initial investigation of reports of child abuse or neglect.
9. The response time with respect to the provision of services to families and children where an allegation of child abuse or neglect has been made.
10. For child protective service personnel responsible for intake, screening, assessment, and investigation of child abuse and neglect reports in the State—
  - A. information on the education, qualifications, and training requirements established by the State for child protective service professionals, including

for entry and advancement in the profession, including advancement to supervisory positions;

B. data of the education, qualifications, and training of such personnel;

C. demographic information of the child protective service personnel; and

D. information on caseload or workload requirements for such personnel, including requirements for average number and maximum number of cases per child protective service worker and supervisor.

11. The number of children reunited with their families or receiving family preservation services that, within five years, result in subsequent substantiated reports of child abuse or neglect, including the death of the child.
12. The number of children for whom individuals were appointed by the court to represent the best interests of such children and the average number of out of court contacts between such individuals and children.
13. The annual report containing the summary of activities of the citizen review panels of the State required by subsection (c)(6).
14. The number of children under the care of the State child protection system who are transferred into the custody of the State juvenile justice system.
15. The number of children referred to a child protective services system under subsection (b)(2)(B)(ii).
16. The number of children determined to be eligible for referral, and the number of children referred, under subsection (b)(2)(B)(xxi), to agencies providing early intervention services under part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.).

# B-1 Child File Record Layout

OMB No. 0980-0229  
Expiration Date: 11/30/2012

Field	Child Data Element Long Name	(Short Name)
<b>I. REPORT DATA</b>		
1	Submission Year	(SUBYR)
2	State/Territory	(STATERR)
3	Report Id	(RPTID)
4	Child Id	(CHID)
5	County Of Report	(RPTCNTY)
6	Report Date	(RPTDT)
7	Investigation Start Date	(INVDATE)
8	Report Source	(RPTSRC)
9	Report Disposition	(RPTDISP)
10	Report Disposition Date	(RPTDISDT)
11	Notifications	(NOTIFS)
<b>II. CHILD DATA</b>		
12	Child Age At Report	(CHAGE)
13	Child Date Of Birth	(CHBDATE)
14	Child Sex	(CHSEX)
15	Child Race American Indian Or Alaska Native	(CHRACAI)
16	Child Race Asian	(CHRACAS)
17	Child Race Black Or African American	(CHRACBL)
18	Child Race Native Hawaiian Or Other Pacific Islander	(CHRACNH)
19	Child Race White	(CHRACWH)
20	Child Race Unable To Determine	(CHRACUD)
21	Child Ethnicity	(CHETHN)
22	County Of Residence	(CHCNTY)
23	Living Arrangement	(CHLVNG)
24	Military Family Member	(CHMIL)
25	Prior Victim	(CHPRIOR)
<b>III. MALTREATMENT DATA</b>		
26	Maltreatment-1 Type	(CHMAL1)
27	Maltreatment-1 Disposition Level	(MAL1LEV)
28	Maltreatment-2 Type	(CHMAL2)
29	Maltreatment-2 Disposition Level	(MAL2LEV)
30	Maltreatment-3 Type	(CHMAL3)
31	Maltreatment-3 Disposition Level	(MAL3LEV)
32	Maltreatment-4 Type	(CHMAL4)
33	Maltreatment-4 Disposition Level	(MAL4LEV)
34	Maltreatment Death	(MALDEATH)
<b>IV. CHILD RISK FACTOR DATA</b>		
35	Alcohol Abuse-Child	(CDALC)
36	Drug Abuse-Child	(CDDRUG)
37	Mental Retardation-Child	(CDRTRD)
38	Emotionally Disturbed-Child	(CDEMOTNL)
39	Visually Or Hearing Impaired-Child	(CDVISUAL)
40	Learning Disability-Child	(CDLEARN)
41	Physically Disabled-Child	(CDPHYS)
42	Behavior Problem-Child	(CDBEHAV)
43	Other Medical Condition-Child	(CDMEDICL)

## V. CAREGIVER RISK FACTOR DATA

44 Alcohol Abuse-Caregiver(s)	(FCALC)
45 Drug Abuse-Caregiver(s)	(FCDRUG)
46 Mental Retardation-Caregiver(s)	(FCRTRD)
47 Emotionally Disturbed-Caregiver(s)	(FCMOTNL)
48 Visually Or Hearing Impaired-Caregiver(s)	(FCVISUAL)
49 Learning Disability-Caregiver(s)	(FCLEARN)
50 Physically Disabled-Caregiver(s)	(FCPHYS)
51 Other Medical Condition-Caregiver(s)	(FCMEDICL)
52 Domestic Violence	(FCVIOL)
53 Inadequate Housing	(FCHOUSE)
54 Financial Problem	(FCMONEY)
55 Public Assistance	(FCPUBLIC)

#### VI. SERVICES PROVIDED DATA

56 Post Investigation Services	(POSTSERV)
57 Service Date	(SERVDATE)
58 Family Support Services	(FAMSUP)
59 Family Preservation Services	(FAMPRES)
60 Foster Care Services	(FOSTERCR)
61 Removal Date	(RMVDATE)
62 Juvenile Court Petition	(JUVPET)
63 Petition Date	(PETDATE)
64 Court-Appointed Representative	(COCHREP)
65 Adoption Services	(ADOPT)
66 Case Management Services	(CASEMANG)
67 Counseling Services	(COUNSEL)
68 Daycare Services-Child	(DAYCARE)
69 Educational And Training Services	(EDUCATN)
70 Employment Services	(EMPLOY)
71 Family Planning Services	(FAMPLAN)
72 Health-Related And Home Health Services	(HEALTH)
73 Home-Based Services	(HOMEBASE)
74 Housing Services	(HOUSING)
75 Independent And Transitional Living Services	(TRANSLIV)
76 Information And Referral Services	(INFOREF)
77 Legal Services	(LEGAL)
78 Mental Health Services	(MENTHLTH)
79 Pregnancy And Parenting Services For Young Parents	(PREGPAR)
80 Respite Care Services	(RESPITE)
81 Special Services-Disabled	(SSDISABL)
82 Special Services-Juvenile Delinquent	(SSDELINQ)
83 Substance Abuse Services	(SUBABUSE)
84 Transportation Services	(TRANSPRT)
85 Other Services	(OTHERSV)

#### VII. STAFF DATA

86 Worker Id	(WRKRID)
87 Supervisor Id	(SUPRVID)

#### VIII. PERPETRATOR DATA

88 Perpetrator-1 Id	(PER1ID)
89 Perpetrator-1 Relationship	(PER1REL)
90 Perpetrator-1 As A Parent	(PER1PRNT)
91 Perpetrator-1 As A Caregiver	(PER1CR)
92 Perpetrator-1 Age At Report	(PER1AGE)
93 Perpetrator-1 Sex	(PER1SEX)
94 Perpetrator-1 Race American Indian Or Alaska Native	(P1RACAI)

95 Perpetrator-1 Race Asian	(P1RACAS)
96 Perpetrator-1 Race Black Or African American	(P1RACBL)
97 Perpetrator-1 Race Native Hawaiian Or Other Pacific Islander	(P1RACNH)
98 Perpetrator-1 Race White	(P1RACWH)
99 Perpetrator-1 Race Unable To Determine	(P1RACUD)
100 Perpetrator-1 Ethnicity	(PER1ETHN)
101 Perpetrator-1 Military Member	(PER1MIL)
102 Perpetrator-1 Prior Abuser	(PER1PIOR)
103 Perpetrator-1 Maltreatment-1	(PER1MAL1)
104 Perpetrator-1 Maltreatment-2	(PER1MAL2)
105 Perpetrator-1 Maltreatment-3	(PER1MAL3)
106 Perpetrator-1 Maltreatment-4	(PER1MAL4)
107 Perpetrator-2 Id	(PER2ID)
108 Perpetrator-2 Relationship	(PER2REL)
109 Perpetrator-2 As A Parent	(PER2PRNT)
110 Perpetrator-2 As A Caregiver	(PER2CR)
111 Perpetrator-2 Age At Report	(PER2AGE)
112 Perpetrator-2 Sex	(PER2SEX)
113 Perpetrator-2 Race American Indian Or Alaska Native	(P2RACAI)
114 Perpetrator-2 Race Asian	(P2RACAS)
115 Perpetrator-2 Race Black Or African American	(P2RACBL)
116 Perpetrator-2 Race Native Hawaiian Or Other Pacific Islander	(P2RACNH)
117 Perpetrator-2 Race White	(P2RACWH)
118 Perpetrator-2 Race Unable To Determine	(P2RACUD)
119 Perpetrator-2 Ethnicity	(PER2ETHN)
120 Perpetrator-2 Military Member	(PER2MIL)
121 Perpetrator-2 Prior Abuser	(PER2PIOR)
122 Perpetrator-2 Maltreatment-1	(PER2MAL1)
123 Perpetrator-2 Maltreatment-2	(PER2MAL2)
124 Perpetrator-2 Maltreatment-3	(PER2MAL3)
125 Perpetrator-2 Maltreatment-4	(PER2MAL4)
126 Perpetrator-3 Id	(PER3ID)
127 Perpetrator-3 Relationship	(PER3REL)
128 Perpetrator-3 As A Parent	(PER3PRNT)
129 Perpetrator-3 As A Caregiver	(PER3CR)
130 Perpetrator-3 Age At Report	(PER3AGE)
131 Perpetrator-3 Sex	(PER3SEX)
132 Perpetrator-3 Race American Indian Or Alaska Native	(P3RACAI)
133 Perpetrator-3 Race Asian	(P3RACAS)
134 Perpetrator-3 Race Black Or African American	(P3RACBL)
135 Perpetrator-3 Race Native Hawaiian Or Other Pacific Islander	(P3RACNH)
136 Perpetrator-3 Race White	(P3RACWH)
137 Perpetrator-3 Race Unable To Determine	(P3RACUD)
138 Perpetrator-3 Ethnicity	(PER3ETHN)
139 Perpetrator-3 Military Member	(PER3MIL)
140 Perpetrator-3 Prior Abuser	(PER3PIOR)
141 Perpetrator-3 Maltreatment-1	(PER3MAL1)
142 Perpetrator-3 Maltreatment-2	(PER3MAL2)
143 Perpetrator-3 Maltreatment-3	(PER3MAL3)
144 Perpetrator-3 Maltreatment-4	(PER3MAL4)

#### IX. ADDITIONAL FIELDS

145 AFCARS ID	(AFCARSID)
146 Incident Date	(INCIDDT)
147 Report Time	(RPTTM)
148 Investigation Start Time	(INVTM)
149 Maltreatment Death Date	(DTHDT)
150 Foster Care Discharge Date	(FCSDT)

## 1.0 SPECIFICATIONS FOR CREATING THE CHILD FILE

The Child File contains records of case-level data on children (victims and nonvictims) who are the subject of a report of alleged child abuse or neglect. The Child File consists of child records, each record having the same format. Each child record contains information about only one child, in addition to information about the associated abuse report. For each child record, there are numerous data elements grouped into various data categories (e.g., all child demographics are grouped into the Child Data Section).

This section explains how the State creates the Child File. This includes describing the structure of the file, the data records in the file, the data elements in the records, and the procedures used for constructing the data file. For each submission period, the State submits the Child File, the Agency File, and the State Commentary.

Starting with data submitted for FFY 2003, the data collection year for a given submission period was changed from the calendar year to the Federal Fiscal Year (FFY), October 1 through September 30. All Reports with a Disposition Date within that 12 month period are submitted.

### Essential Concepts of the Child File

When a reporting source contacts a Child Protection Services (CPS) agency with an allegation of child abuse, the agency decides to investigate or assess the allegation. If the agency decides to open the case, the agency creates a new report or incident within their computer system and identifies the report with a unique report identifier (Report ID). Each child in the report is identified with a unique child identifier (Child ID), newly assigned if the child is new to the system, or identical to the existing child identifier if the child has previously been in the system. The information collected about a given child in this unique report will create one NCANDS record in the Child File. There may have been multiple children reported at the same time by the reporting source. If there were three children in the report, there would be three records in the Child File with the same Report ID. Each record contains significant information concerning:

- the report
- the child
- maltreatments
- child and caregiver risk factors
- services
- staff data
- perpetrators
- additional fields

Each of the records should be the same length, with the exact number of blank characters being used to replace any data fields where data are not available. Each of the records must conform to the record layout for the NCANDS Child File, where each field in the record layout has a fixed length, as defined in *Child File Record Layout*.

The Child File is a “text” file, also referred to as an ASCII (American Standard Code for Information Interchange) file. The Child File for a given State for a given year consists of file records, just like any other ASCII computer file.

Because a given child may appear in the Child File in more than one report, it is necessary to be able to associate the child with the various reports. This is accomplished by having both the Report ID and the Child ID in each record. The combination of the Report ID and the Child ID together identifies a Report-Child pair (R-C pair) or event and forms the unique primary key field of the Child File. The data associated with an R-C pair represent all of the information about the allegations concerning that child in this report.

### Victims, Nonvictims, and the Report Disposition

A child record allows for recording up to four of the five NCANDS Maltreatment Types: physical abuse, neglect, medical neglect, sexual abuse, and psychological maltreatment. Each of the four Maltreatment Types has an associated Maltreatment Level to record whether the alleged maltreatments were: substantiated,

indicated, alternative response-victim, alternative response-nonvictim, unsubstantiated, unsubstantiated due to intentionally false reporting, closed-no finding, or no alleged maltreatment. One child in a report could have only one alleged maltreatment and another child in the same report could have up to four alleged maltreatments recorded.

Every record in the Child File represents a child who can be classified as a victim or a nonvictim for the given R-C pair. The determination of whether or not a child is a victim is computed from the information in the record. A child may be a victim in one report and not be a victim in another report. For any given R-C pair, being a victim or not depends upon the four Maltreatment Levels linked to the four Maltreatment Types and the Maltreatment Death field. A child is a victim in the R-C pair if any of the Maltreatment Level fields are coded as “substantiated,” “indicated,” or “alternative response-victim.” A child is also a victim in the R-C pair if the Maltreatment Death field is “yes.” A child is classified as a victim or nonvictim based on only that child’s Maltreatment Levels, not other children in the same report, so a child can be classified as a victim in a report even when all the other children are classified as nonvictims. The Report Disposition, however, is computed for all children in the report.

Each report in the Child File has a Report Disposition. The Report Disposition is a computable value, dependent upon all of the children in the report and their four Maltreatment Levels. The Report Disposition is computed based on the Maltreatment Level code values across all of the Maltreatment Levels in the entire report. Reports in which the lowest numeric (most severe) Maltreatment Level code value is, 01-Substantiated, are assigned a 01-Substantiated Report Disposition; reports in which the lowest numeric Maltreatment Level code value is, 02-Indicated, are assigned a 02-Indicated Report Disposition, etc. The rules associated with the computation of the Report Disposition are referred to as “Disposition Hierarchy” rules. To assist the State in better understanding their data with respect to the computation of the Report Disposition, *Exhibit 5-1: Disposition Hierarchy Rules*, indicates the appropriate Report Disposition based on the Maltreatment Levels in a given report. The EVAA applies a rule to the Child File to detect noncompliance to these hierarchy rules.

**Exhibit 5-1: Disposition Hierarchy Rules**

If the lowest Maltreatment Level code for any child within the same report is:		The Report Disposition is:	
01	Substantiated	01	Substantiated
02	Indicated (no child has a substantiated mallevel)	02	Indicated
03	Alternative Response-Victim (no child has a 01 or 02 mallevel )	03	Alternative Response-Victim
04	Alternative Response-Nonvictim (no child has 01-03 mallevel)	04	Alternative Response-Nonvictim
05	Unsubstantiated (no child has 01-04 mallevel)	05	Unsubstantiated
06	Unsubstantiated Due to Intentionally False Reporting (no child has 01-05 mallevel)	06	Unsubstantiated Due to Intentionally False Reporting
07	Closed-No Finding (no child has 01-06)	07	Closed-No Finding
08	No Alleged Maltreatment (Does not determine the report disposition)	NA	
88	Other (No child has 01-07)	88	Other
99	Unknown (No child 01-07 or 88)	99	Unknown

**Significant Data Errors**

This section discusses several important error conditions that a State should take steps to avoid.

- **A child cannot be associated more than once with the same report.** A Child ID cannot be associated more than once with the same Report ID. In other words, a Child File record cannot have the same combination of Report ID-Child ID as any other Child File record. If this condition occurs, all records with the same Report ID-Child ID are deleted during validation.
- **Each record, which represents a Report ID-Child ID pair, should not have all blank maltreatment levels and maltreatment types.** Because the status of a child is determined by the

maltreatment levels associated with the child for a specific report, the child, whether found to be a victim of maltreatment or not, should have at least one maltreatment type and one maltreatment level. A child record with no maltreatment types or levels will be removed.

- **The report disposition should not be incorrectly associated with the maltreatment levels of all children associated with the report.** For example, a substantiated report must have at least one child with a substantiated maltreatment.
- **Reports with dispositions that are alternative response nonvictim, unsubstantiated, unsubstantiated due to intentionally false reporting, closed-no finding, other, or unknown or missing cannot have any perpetrator data associated with any of the records with the same Report ID.** If this error is found, all perpetrator data are deleted during validation.
- **A perpetrator cannot have all perpetrator maltreatment fields coded as “no.”** If this error is found, all data associated with that perpetrator in the specific record is deleted during validation. If the perpetrator is not positively linked to any of the maltreatments, the state should not provide perpetrator data.
- **Investigation and Assessment maltreatment levels are not allowed within a single report.** If this error is detected, and the entire report will be removed from the file.

### Submitting Available State Data

All States are encouraged to submit data for all fields in the Child File. However, it is important to recognize that as the usage of the NCANDS data increases, the quality of the data become increasingly important. Therefore, States should examine carefully the logic on all fields that are extracted from their State child welfare information systems. The basic count and output reports provided within the EVAA are helpful tools in making these assessments. Data elements that have non-representative aggregated counts should be further examined. The data maps are also useful tools in resolving data problems. If the problem cannot be resolved, the State should consider not reporting on that specific data element and provide written commentary regarding that specific field. The State should also seek assistance from the NCANDS Technical Team via telephone or email as needed to identify and resolve problems.

### Child File Validation Rules

The data in all Child Files are validated with the EVAA used by the States and by the NCANDS Technical Team. There are business rules which govern how this validation process is accomplished. With many of the business rules, there are associated consequences if the application of the rule fails. An example of a business rule is “A coded field must have a valid NCANDS code.” The associated consequence would be “A Type B error will be logged and the field will be blanked.” See *Section 1.6: Assessing Validation Results, Error Information Tab*, of the NCANDS EVAA User Guide distributed in the documentation folder of the FFY2011 EVAA Application, for further information about validation errors.

There are several levels of consequences related to the validation rules. Minor consequences will involve noting the error and taking no action. At times, the error detected in the field will require the entire record to be dropped from the file. The most severe consequences will necessitate dropping all records associated with that Report ID from the file.

### Report Data

The Report Data section (fields 1-11) contains the two identifying fields (Submission Year and State ID) and general information about the report. The first identifying field for the record is the Report ID. The second identifying field for the record is the Child ID. All remaining fields in the Report Data section are attributes related to the Report ID.

If a report involves multiple children, the Report Data fields, with the exception of the Child ID, are identical on each record containing the same Report ID. For example, if there were three children in the report, the



data in the entire Report Data section would be identical for all three child records, except for the three different Child IDs.

### **Child Data**

The Child Data section (fields 12-25) contains general information about the specific child in the record. All fields in this section are attributes related to the Child ID. The State should always submit data for all data sections through the Staff Data section (fields 1- 87). Data for the Perpetrators section should be submitted only if the child in the record is a victim. For these victims, all fields in the record would then be submitted (fields 1-146).

### **Maltreatment Data**

The fields in the Maltreatment Data section (fields 26-34) include information about maltreatment types and maltreatment disposition levels. Up to four allegations of maltreatment are coded with the decision regarding the allegation. The Maltreatment Death field is also included in this section as it is a contributor in determining the child victim status.

### **Child Risk Factors**

The fields in the Child Risk Factors section (fields 35-43) indicate whether the child suffered from one or more disabilities or problems.

### **Caregiver Risk Factors**

The fields in the Caregiver Risk Factors section (fields 44-55) indicate whether the child's family or caregiver(s) suffered from one or more disabilities or problems. Additional family or caregiver fields in this section include information on the living environment of the child, which might affect the child or place the child at risk for maltreatment.

### **Services Provided**

The fields in the Services Data section (fields 56-85) contain information about services, which are provided for the child and/or family. Post-investigation services should be reported if they are delivered between the Report Date and 90 days after the Report Disposition Date and would include: Family Preservation, Family Support, Foster Care and other services listed in the Child File record layout. A service must continue after the Report Disposition Date to be counted as a post-investigation service. A service can start at any time prior to the Report Disposition Date provided it is associated with the investigation.

### **Staff Data**

The fields in the Staff Data section (fields 86-87) contain identification information about the CPS Worker and the CPS Worker's Supervisor who were associated with the child on the date of the Report Disposition.

### **Perpetrator Data**

The fields in the Perpetrator Data section (fields 88-144) allow for the submission of information on a maximum of three persons who are found to be perpetrators of maltreatment. If the child has not been found to be a victim of maltreatment, the perpetrator data section is left blank. The four Perpetrator Maltreatment fields for each perpetrator should be linked by the State to the four sets of Maltreatment Type and Maltreatment Disposition Level fields reported for the child victim (fields 26-33).

### **Additional Fields**

Beginning in FFY 2003, two new additional data fields (fields 145-146) were added at the end of the record. These fields are the AFCARS ID and the Incident Date.

The AFCARS ID field is populated with the existing AFCARS Record Number value assigned to the child or the Record Number value which would be assigned to the child. States should provide this field for all records in the Child file. The AFCARS ID field is encrypted using the AFCARS encryption utility.

The Incident Date field refers to the most recent known incident of alleged child maltreatment. It should be prior to or equal to the report date, but not greater than the report date, even if the child is found to be maltreated during the investigation or assessment.

### **The Importance of Unique Identifiers**

Unique identifiers provide the ability to specifically identify a report, child, worker, supervisor, or perpetrator via a given data field. All States are encouraged to use unique identifiers. The identifiers must be encrypted. The NCANDS will use the unique identifiers to link multiple children to the same report, for identifying repeat children, for identifying repeat perpetrators, and for analyzing worker and supervisor identifiers. If unique identifiers are not possible, the State is encouraged to plan for the possibility of utilizing and providing unique identifiers in the future and to discuss current restrictions with the Children's Bureau. This section discusses in more detail the general concepts concerning identification fields.

Each report of child maltreatment should be given a unique report identifier by the State, which will become the NCANDS field of Report ID. A unique identifier for a report is an identifier that is assigned only one time and to only one specific report. The report is never assigned an additional identifier (causing multiple identifiers) and the same identifier is never assigned to another report (causing shared identifiers). If the State system does not use report identifiers (e.g., the State only uses a child identifier), the State should create a unique report identifier for the Child File. The report identifier should be the same for all child records involved in the same report. For example, if three children were involved in a report, each child record in the report would have the same report identifier, but each child would have a different child identifier. The report identifier is the key field for associating all of the child records that are part of the same report.

Similarly, each child should be given a unique child identifier by the State, which will become the NCANDS field of Child ID. A unique identifier for a child is an identifier that is assigned only one time and to only one specific child. The child is never assigned an additional identifier (causing multiple identifiers) and the same identifier is never assigned to another child (causing shared identifiers). If the same child is involved in multiple reports, the child should be assigned the same child identifier for all of those reports. However, a given child identifier should only be associated once with a specific Report ID.

The same unique identifier logic should be applied for the fields of Worker ID and Supervisor ID. A unique identifier for a CPS staff person is an identifier that is assigned only one time and to only one specific person. The staff person is never assigned an additional identifier (causing multiple identifiers) and the same identifier is never assigned to another staff person (causing shared identifiers). If the same staff person is involved with multiple reports or with multiple children in a report, the staff person should be assigned the same identifier for all occurrences. Furthermore, if a person changes roles (e.g., from a worker to a supervisor), it is advisable that the person retain the originally assigned identifier.

Each perpetrator reported by the State should also be given a unique perpetrator identifier by the State, which becomes one of the NCANDS Perpetrator ID fields. A unique perpetrator identifier might occur in any one, but only one, of the Perpetrator-1 ID, Perpetrator-2 ID, and Perpetrator-3 ID fields in a record. A unique identifier for a perpetrator is an identifier that is assigned only one time and to only one specific perpetrator. The perpetrator is never assigned an additional identifier (causing multiple identifiers) and the same identifier is never assigned to another perpetrator (causing shared identifiers). If the same perpetrator is involved in multiple reports or with multiple children in a report, the perpetrator should be assigned the same perpetrator identifier for all occurrences. However, a perpetrator identifier should only appear one time within a single child record.

### **Encryption of Identification Fields**

As data are submitted to NCANDS, the confidentiality of all persons and reports in the data must be strictly preserved. To maintain this confidentiality, appropriate identifier encryption should be applied by the State to

all identification fields. Appropriate identifier encryption means that no one would be able to tell who a person was as a result of having the identifier. Each identifier for report, child, worker, supervisor, perpetrator, and AFCARS ID should be encrypted or translated by the State into a new unique identifier at the time the Child File is developed. Care must be taken that the encryption methodology used to encrypt the NCANDS AFCARS ID field is the same as that which is used or would be used in an actual AFCARS File. Many States use the AFCARS encryption utility to encrypt all identification fields.

States are asked to complete a Certificate of Encryption, certifying that all identification fields within the Child File are encrypted. This certificate is kept on file and referenced when the accepted Child File data are sent to the National Archive on Child Abuse and Neglect. See *Section 9.4: National Archive on Child Abuse and Neglect* for more information on the Archive.

It is also important for the State to completely and privately document their identifier encryption methodology and use the same encryption methodology year after year for data submissions.

States needing assistance with encryption methodology should contact the Federal Regional Office or the Children's Bureau for further information.

### **State Investigation and Differential Response**

State CPS agencies respond to allegations of child abuse or neglect. This response may be an investigation into the allegation of abuse or neglect or it may be an alternative or differential response to an investigation. Several States have developed or are in the process of developing alternative or differential responses to CPS investigations. These alternative or differential responses are performed for low- or medium-risk cases, focus primarily on the service needs of the family, and may or may not include a determination of each of the alleged maltreatments.

The outcomes of investigations are the report disposition and the child maltreatment level category values of “substantiated,” “indicated,” “unsubstantiated,” etc. However, children in differential response programs usually are not assigned such dispositions. It is the intention of NCANDS to collect data on differential response cases, except those which are considered screened out or diverted from CPS and for whom only minimal data is retained. In NCANDS, differential responses are referred to as alternative responses and States are given the option of using report dispositions and maltreatment levels of “alternative response victim” and “alternative response nonvictim.”

During data mapping meetings, the State needs to determine, in detail, how the various State dispositions will be mapped into the NCANDS dispositions. The Child File enables a State to submit reports using either the investigative or alternative response methods. Therefore, any report from a State may have been processed as an investigation or as an alternative response and the Child File may contain a mixture of these types of reports. It is anticipated that State Child Files may be constructed in two ways: (1) All records have report disposition results based on conducting investigations (“substantiated,” etc.) or (2) Records have either investigation or assessment (alternative response victim or nonvictim) results in the report disposition field (and the maltreatment level fields). No single report can contain a combination of maltreatment dispositions that apply to both investigations and alternative responses.

### **Types of Child Record Fields**

The various types of fields in the child record are described below. In all cases, each of the data fields have a fixed length and if the State has no value for a given field, the field should be filled with the appropriate number of blank characters.

#### **Identifier Field**

The identifier fields in the record are:

- report ID
- child ID

- worker ID
- supervisor ID
- perpetrator ID
- AFCARS ID

Each identifier field is alphanumeric and 12 characters long with no blanks. Each of these identifiers is to be encrypted by the State. The Report ID, the Child ID, and AFCARS ID are required identifier fields and all child records submitted must contain these data fields. Perpetrator identifiers must be included if perpetrator data are present for a given perpetrator.

**Alphabetic Field**

An alphabetic field only contains alphabetic characters (e.g., the State/Territory field, "AZ"). The field length is as specified in the record layout.

**Alphanumeric Field**

An alphanumeric field only contains alphabetic, numeric, or a mixture of the two types (e.g., the Report ID field). The field length is as specified in the record layout.

**Numeric Field**

A numeric field only contains numeric characters (e.g., coded fields). The field length is as specified in the record layout.

**Date Field**

A date field is a numeric field exactly eight characters in length. The field should be in the "mmddyyyy" format where "mm" = month, "dd" = day, and "yyyy" = year. It is important that a date field contain a valid date and not a "pseudo-date." An example of a "pseudo-date" would be setting the day to zeros ("01002003") or the year to nines ("01019999") because the exact date is not known. "Pseudo-dates" are invalid in the file. Listed here are rules to follow when the exact date is unknown:

- Choose the 15<sup>th</sup> or 30<sup>th</sup> of the month when the exact date is not known.
- Choose the closest month to the report or June when the exact month is not known.

The State should consult with an NCANDS Technical Team member on date rules if the State plans to submit estimated or proxy dates for any date fields.

**Child Record Coded Fields**

Many of the data fields in the child record are coded fields. Any data value submitted in a given coded field needs to match one of the specified NCANDS values for that field. NCANDS utilizes the following common coding conventions consistently throughout the child record.

**Blanks = Not collected/Not applicable**

If information for a given field or section is not collected by the State, the State would place blanks in the field (e.g., if the State does not collect Perpetrator Age, the field would be left blank). The number of blanks inserted for the field is identical to the specified field length.

If information for a given field or section is not applicable, the State would place blanks in that field (e.g., if only one Maltreatment Type is collected, Maltreatment Types 2, 3 and 4 are left blank). The number of blanks inserted for the field is identical to the specified field length.

**"8" or "88" = Other**

The "8" or "88" code would be used when the NCANDS code values do not adequately describe the State's code value (e.g., if the State cannot map a certain Maltreatment Type into the NCANDS code values, the code "8" is used to indicate "other" Maltreatment Type).

**“9” or “99” = Unknown**

The “9” or “99” code is used if the State captures and stores the information on a routine basis, but the data were not captured or were missing for the given record (e.g., the Perpetrator Age was not determined during the investigation).

**“1” = Yes, “2” = No**

For fields requiring a “yes” or “no” response, the values of “1” = yes and “2” = no are used consistently across all fields.

**Child File and Child Record Layout**

The following file and record layout information is basic with respect to submitting the Child File:

- The Child File is submitted to NCANDS as a single, flat text file with no relational data structure.
- The file only consists of child records, each record referring to data associated with one child within a given report.
- A child record is uniquely defined by the linking of the Report ID of the record to the Child ID of the record. This is commonly referred to as the “Report-Child,” the R-C pair, or the event, where a unique R-C pair represents a single child record in the submission file. However, a given child may appear in multiple reports.
- Each record consists of the 146 fields as defined in *Appendix C: Child File Record Layout*. The total child record length is 312 characters. The record layout is the same for all records in the data file.
- Although not a requirement, it is helpful to sort the file in ascending order by the Child ID within the Report ID (e.g., the file is sorted ascending based on the Report-Child pair), allowing for easier reference to the original records.

**Steps in Preparing the Child File**

Additional guidance for the State IT staff, both new and experienced, are presented below.

**IT Staff New to NCANDS**

- Carefully read this Guidelines document.
- Obtain and review the State’s current mapping forms.
- Become familiar with the design, logic, coding, and operation of the State Child File data extraction program.
- Become familiar with the State identifier encryption methodology, for NCANDS and AFCARS.
- Follow the instructions in the *IT Staff with NCANDS Experience* section below.

**IT Staff with NCANDS Experience**

- Review all State computer system changes of the past year.
  - For changes relevant to the Child File production:
    - Update the mapping forms with the changes for the specific fields
    - Submit the modified mapping forms to the NCANDS Team for review
    - Modify and test the Child File data extraction program as specified in the modified mapping forms
  - For changes not relevant to the Child File production, no modifications to the Child File data extraction program are needed.
- Generate the Child File using the data extraction program.
- Submit the Child File to NCANDS via the Portal.

The greatest assistance to the computer programming staff of the State will be the completed mapping forms, which contain the detailed specifications of how each data element in the Child File is to be retrieved from

the State database. Following the instructions listed above will allow for the most thorough creation and maintenance of the computer programs needed to generate the Child File.

### Child File Extraction Computer Programming Considerations

The following information is provided for the State computer programming staff to assist in the development of the State Child File Data Extraction Program. The programming staff should refer to *Appendix C: Child File Record Layout* and *Section 5.13: Child File Record Examples*. Although many of the conversion operations will be relatively straightforward, the following topics will require special programming attention.

1. The Child File is generated via the execution of the State-prepared computer program, typically designed from the State completed Child File mapping forms.
2. The Child File is a fixed-length record file. All field and record lengths in this file must be strictly followed. The data submitted by the State are not delimited. The column positions of each field in the child record must be strictly followed.
3. Fields being submitted with no data in them should always contain “blank” information, containing the exact number of blanks to match the length of the field.
4. Special care must be taken with the AFCARS ID field. For a given child, the value that is placed into the NCANDS AFCARS ID field must be the same value that the State uses or would use for the Record Number of the AFCARS File for that specific child. The AFCARS ID field must be encrypted using the AFCARS Encryption Tool with the same encryption algorithm as is used for the Record Number field in the State AFCARS file. The State may find it beneficial to utilize the AFCARS Encryption tool for all encryption needs in the NCANDS record. Care should also be taken in all of the encryption processing, so the AFCARS ID is not double encrypted (an encryption of an encrypted ID).
5. No Report ID, Child ID, Worker ID, Supervisor ID, Perpetrator ID, or AFCARS ID is to be transferred directly into the child record from the State database. These identifiers should be encrypted in some manner to protect the actual identity of the individual. The State should use the same encryption method consistently from year to year.
6. If the State algorithm for generating the Report ID, Child ID, Worker ID, Supervisor ID, Perpetrator ID, or AFCARS ID does not deliver a full NCANDS length field, the identifier field should be left-filled with zeros to provide the exact number of characters needed for the field.
7. The State Child File data extraction program should adhere strictly to the State's defined specification in the mapping forms. Deviations from the mapping specification could result in validation errors. See *Section 6.0; Using the Child File Enhanced Validation and Analysis Application (EVAA)* for a detailed discussion of data validation processes and error detection.
8. As mentioned earlier, it is a good policy to sort the Child File sequentially by Report-Child pairs (i.e., Child ID within Report ID).

### Selection of Records for the Child File

This section is directed to the State IT staff responsible for writing the data extraction program. One of the most difficult tasks in preparing the data extraction program is the proper selection of records for the Child File. Because State databases vary, data may be stored according to a variety of different data models across the States. These data models might focus upon storing data by event, by child profile, etc. *Exhibit 5-3: Child Record Selection Tips* shows the generalized data sources (independent of data model) and the high-level criteria needed to make the appropriate record selections for the Child File records. The first column contains the Data Section from the Child File Record Layout. The second column shows the Primary Data Sources (tables, files, etc.) where the State might typically find the data. The third column shows the general Cumulative Criteria that a State would typically use to select the data for the Child File. The criteria are numbered and the number key appears at the bottom of the table. All of the criteria listed for a data section would be used to make the proper data selection.

### Exhibit 5-3: Child Record Selection Tips

**B-2 Child File Submission Instructions**

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Data Section	Primary Data Sources	Cumulative Criteria
Report Data	Report Demographics Report Details	#1 + #2 + #15 (See the key at the bottom of the table)
Child Data	Child Demographics Child Details	#1 + #2 + #3 + #4 + #15
Maltreatment Data	Alleged Abuse Details	#1 + #2 + #3 + #4 + #5 + #15
Child Risk Factors	Risk Data Details	#1 + #2 + #3 + #6 + #15
Caregiver Risk Factors	Risk Data Details	#1 + #2 + #3 + #7 + #8 + #15
Services Provided	Child Services Family Services	#1 + #2 + #3 + #9 + #15
Staff Data	Caseload Case Worker Supervisor	Worker: #1 + #2 + #3 + #10 + #15 Supervisor: #1 + #2 + #3 + #10 + #11 + #15
Perpetrators Data	Perpetrator Demographics Alleged Abuse Details Alleged Perpetrator Details	#1 + #2 + #3 + #4 + #12 + #15
Additional Fields	AFCARS ID Incident Date	AFCARS ID: #1 + #2 + #3 + #13 + #15 Incident Date: #1 + #2 + #3 + #14 + #15

**Table Key:**

- #1: Selected Report has a Report Disposition
- #2: Selected Report has Report Disposition Date in NCANDS Submission Year
- #3: Selected Child is a Child within a Selected Report
- #4: Selected Child has a Maltreatment Disposition Level
- #5: Selected Maltreatments are the four Most Significant Maltreatments for a Selected Child
- #6: Selected Child Risks are All Indicated Risks of Selected Child
- #7: Selected Caregivers are All Caregivers of Selected Child
- #8: Selected Caregiver Risks are All Indicated Caregiver Risks of Selected Caregiver
- #9: Selected Services are All Services to Child or Family Provided according to *Exhibit 5-3: Allowable Service Patterns*
- #10: Selected Caseworker is Most Recent Worker
- #11: Selected Supervisor is Supervisor of Most Recent Worker
- #12: Selected Perpetrators are Perpetrators Associated with the Selected Child where at least One Child Maltreatment Disposition Level is "Substantiated," "Indicated," or "Alternative response-victim"
- #13: Selected AFCARS ID of Selected Child
- #14: Selected Incident Date of Selected Child
- #15: State has conducted the investigation or has been involved in the investigation, regardless of who has jurisdiction, e.g., tribal or military investigation

# C-1 Agency File Record Layout

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Expiration Date: 11/30/2012

Field	Agency Summary Data Element Long Name	(Short Name)
	1. PREVENTIVE SERVICES	
1.1.A-C	Children Funding Source: Child Abuse and Neglect State Grant	(PSSTGTC)
1.1.B-C	Children Funding Source: Community-Based Prevention of Child Abuse and Neglect Grant	(PSCOSPC)
1.1.C-C	Children Funding Source: Promoting Safe and Stable Families Program	(PSTLIVBC)
1.1.D-C	Children Funding Source: Social Services Block Grant	(PSTLXXC)
1.1.E-C	Children Funding Source: Other	(PSOTHERC)
1.1.A-F	Families Funding Source: Child Abuse and Neglect State Grant	(PSSTGTF)
1.1.B-F	Families Funding Source: Community-Based Prevention of Child Abuse and Neglect Grant	(PSCOSPF)
1.1.C-F	Families Funding Source: Promoting Safe and Stable Families Program	(PSTLIVBF)
1.1.D-F	Families Funding Source: Social Services Block Grant	(PSTLXXF)
1.1.E-F	Families Funding Source: Other	(PSOTHERF)
	2. ADDITIONAL INFORMATION ON REFERRALS AND REPORTS	
2.1.A	Number of Referrals Screened Out	(SCRNRPT)
2.1.B	Number of Children Screened Out	(SCRNCHLD)
2.2	Response Time with Respect to the Initial Investigation or Assessment Number of Staff Responsible for CPS Functions(Screening, Intake, and Investigation/Assessment of	(WKARTIME)
2.3	Reports) During the Year	(WKSIIA)
2.4	Number of Staff Responsible for the Screening and Intake of Reports During the Year	(WKSI)
	3. ADDITIONAL INFORMATION ON CHILD VICTIMS REPORTED IN CHILD FILE	
3.1	Child Victims Whose Families Received Family Preservation Services in the Previous Five Years	(FPS5Y)
3.2	Child Victims Who Were Reunited with Their Families in the Previous Five Years	(FRU5Y)
3.3	Average Number of Out-of-Court Contacts Between the Court-Appointed Representatives and the Child Victims They Represent	(COCONT)
3.4	Child Victims Who Died as a Result of Maltreatment and Whose Families Had Received Family Preservation Services in the Previous Five Years(FTLFPSCF)	
3.5	Child Victims Who Died as a Result of Maltreatment and Had Been Reunited with Their Families in the Previous Five Years	(FTLCRUCF)
	4. INFORMATION ON CHILD FATALITIES NOT REPORTED IN CHILD FILE	
4.1	Child Maltreatment Fatalities not Reported in the Child File	(FATALITY)
4.2	Child Victims Who Died as a Result of Maltreatment While in Foster Care Not Reported in the Child File	(FATALFC)
4.3	Child Victims Who Died as a Result of Maltreatment and Whose Families Had Received Family Preservation Services in the Previous Five Years Not Reported in the Child File	(FATALFPS)
4.4	Child Victims Who Died as a Result of Maltreatment and Had Been Reunited with Their Families in the Previous Five Years Not Reported in the Child File	(FATALCRU)



## 1.0 PREPARING AGENCY DATA FOR SUBMISSION

Aggregated data from either the Agency File data collection forms are submitted electronically online. The automated aggregate data collection capability is referred to as the AgencySDC System. It enables the State to enter, review, comment upon, and save the data directly on the NCANDS Portal.

### 1.1 Submitting Agency Data to NCANDS Tutorial

The method to be used by the State for submitting the Agency data to the NCANDS Technical Team is through the State site on the NCANDS Portal. To submit data and to share State specific information, the State navigates to its private site on the NCANDS Portal. The State can only navigate to its own site; access to other State sites is blocked. States are encouraged to use this site for all communication with their NCANDS Liaison and to track all NCANDS activities. The site provides features to submit data, track data status, log data issues and resolutions, start threaded discussions, and create task lists.

The following steps are used to navigate to the State site from the NCANDS Project Site:

1. On the “Site Navigation” bar, found on the right of the NCANDS Project Site Home Page, select your State name.



2. Click on the “Go” button. Note that if you select the wrong State and click “Go” you will be prompted for the user name and password again.

After navigating to the State site, follow these steps to submit Agency Data:

1. On the State site, click on the “Check Status” on the Data Collection toolbar.



2. Select the appropriate Year and Period of the data being submitted.



3. Click on the “Enter” button under the Agency Data section. This will navigate to the Agency Data Entry page. Note that if you have already started data entry or if the NCANDS Technical Team Liaison has requested you to resubmit data, you will see the “Modify” button.

## C-2 Agency File Submission Instructions

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4. Answer each item by entering data in the respective data entry fields. Comments can also be entered for each item. The user may obtain more detailed information about the item by moving the mouse over the orange question mark for the field. Navigate to more items by clicking on the TAB links on the top of the page.

1. PREVENTIVE SERVICES	2. REFERRALS AND REPORTS	3. CHILD VICTIMS	4. CHILD FATALITIES
1.1.A-C Children Funding Source: Child Abuse and Neglect State Grant (PSSTGTC)	<input type="text"/>	Comments:	<input type="text"/>
1.1.A-F Families Funding Source: Child Abuse and Neglect State Grant (PSSTGTF)	<input type="text"/>	Comments:	<input type="text"/>
1.1.B-C Children Funding Source: Community-Based Prevention of Child Abuse and Neglect Grant (PSCOSPC)	<input type="text"/>	Comments:	<input type="text"/>
1.1.B-F Families Funding Source: Community-Based Prevention of Child Abuse and Neglect Grant (PSCOSPF)	<input type="text"/>	Comments:	<input type="text"/>
1.1.C-C Children Funding Source: Promoting Safe and Stable Families Program (PSTLVBC)	<input type="text"/>	Comments:	<input type="text"/>
1.1.C-F Families Funding Source: Promoting Safe and Stable Families Program (PSTLVBF)	<input type="text"/>	Comments:	<input type="text"/>
1.1.D-C Children Funding Source: Social Services Block Grant (PSTLXXC)	<input type="text"/>	Comments:	<input type="text"/>
1.1.D-F Families Funding Source: Social Services Block Grant (PSTLXXF)	<input type="text"/>	Comments:	<input type="text"/>
1.1.E-C Children Funding Source: Other (PSOTHERC)	<input type="text"/>	Comments:	<input type="text"/>
1.1.E-F Families Funding Source: Other (PSOTHERF)	<input type="text"/>	Comments:	<input type="text"/>

This is the number of children who received services aimed at preventing child abuse and neglect during the year funded by a Community-Based Prevention of Child Abuse and Neglect Grant.  
Enter number of children. (Leave blank if data are not collected. Enter zero if data are collected and total is actually zero.)

Validate Save Submit Back Compare

5. Click on the “Save” button to save the information entered. The “save” process allows for entering and saving data during multiple sessions, i.e. data can be entered and saved as they become available for different sessions before the final submission.
6. Data errors, if any, will be displayed at the top of the page. An option to override the error messages and continue the “save” process is provided in the warning message.
7. Click on the “Compare” button to display the Comparison Page that lists last year’s data and this year’s data side-by-side. The State should review the comparison and add comments in the comment fields for the items with considerable differences. Click “Close Window” to close the Data Comparison page.
8. Click on the “Download” button to display or save the Agency file with the data in Microsoft Word format.
9. When the data are ready to be submitted, click on the “Submit” button. If the data submission is successful, the data submission status page will be displayed. Contact your NCANDS Technical Team Liaison if there are any errors.

After the data are received they will be validated by the NCANDS Technical Team. If the data are found to have no errors, the submission will be accepted. Otherwise the NCANDS Team will request a data resubmission. In both cases the NCANDS State Contact will be alerted with an email. To resubmit the data follow the steps (see Step 3 above) for modifying the data.

### Agency File Validation Workbook

The Agency File Validation Workbook holds a single worksheet providing a historical comparison for each Agency file data element and a place for State responses. The NCANDS Liaison reviews the historically compared data to look for significant changes over time and asks for confirmation or clarification of data anomalies.