

**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.).

Attachment B-1 Child File Data Elements

| Field | Child Data Element Long Name (Short Name) |
|-----------------------------------|--|
| I. REPORT DATA | |
| 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 (INVDAT) |
| 8 | Report Source (RPTSRC) |
| 9 | Report Disposition (RPTDISP) |
| 10 | Report Disposition Date (RPTDISDT) |
| 11 | Notifications (NOTIFS) |
| II. CHILD DATA | |
| 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) |
| III. MALTREATMENT DATA | |
| 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) |
| IV. CHILD RISK FACTOR DATA | |
| 35 | Alcohol Abuse-Child (CDALC) |
| 36 | Drug Abuse-Child (CDDRUG) |
| 37 | Intellectual Disability-Child (CDRTRD) |
| 38 | Emotionally Disturbed-Child (CEMOTNL) |
| 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) |

| Field | Child Data Element Long Name (Short Name) |
|--------------------------------------|--|
| V. CAREGIVER RISK FACTOR DATA | |
| 44 | Alcohol Abuse-Caregiver(S) (FCALC) |
| 45 | Drug Abuse-Caregiver(S) (FCDRUG) |
| 46 | Intellectual Disability-Caregiver(S) (FCRTRD) |
| 47 | Emotionally Disturbed-Caregiver(S) (FCEMOTNL) |
| 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 (JVPET) |
| 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. PERPETRATORS 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) |

| Field | Child Data Element Long Name (Short Name) |
|------------------------------|--|
| 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 (INVSTRTM) |
| 149 | Date of Death (DEATHDT) |
| 150 | Foster Care Discharge Date (FCDCHDT) |

1.0 ATTACHEMNT B-2 CHILD FILE SUBMISSION INSTRUCTIONS

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).

Prior to EVAA2009, the records in the Child File were required to be ordered by unique child identifier (Child ID) within Report ID so the Report IDs would be in order and all children within a given report would appear sequentially in the file. As of EVAA2009, this requirement has been removed, but states are encouraged to continue to sort the file, as in the past, as it simplifies the process of viewing records in the original file, if needed.

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.

The data collection year for a given submission period follows the FFY, October 1 through September 30. All Reports with a Disposition Date within that 12 month period are submitted.

1.1. ESSENTIAL CONCEPTS OF THE CHILD FILE

Reports, Records, R-C pairs, and the Child File

When a reporting source contacts a 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 Report ID. Each child in the report is identified with a 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 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 *Attachment B-1 Child File Data Elements*. There should be a delimiter at the end of each record.

The Child File is a “text” file, also referred to as an American Standard Code for Information Interchange (ASCII) 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* indicates the appropriate Report Disposition based on the Maltreatment Levels in a given report. EVAA applies a rule to the Child File to detect noncompliance.

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. The error conditions include the following:

- **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 victim, 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 are 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, 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 becomes increasingly important. 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 nonrepresentative 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 to identify and resolve problems.

Child File Validation Rules

The data in all Child Files are validated with the EVAA and 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 FFY 2014 EVAA 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.

1.2. OVERVIEW OF THE CHILD FILE RECORD

Each record in the Child File allows for the reporting of information about a child associated with a report of alleged child abuse or neglect. All of the data elements in the record are grouped into these data sections, including:

- report data (characteristics)
- child data (demographics)
- maltreatment data
- child risk factors (disabilities, problems, etc.)
- caregiver risk factors (disabilities, problems, etc.)
- services provided (to the child/family)
- staff data
- perpetrator data (demographics, maltreatment data)
- additional fields.

A complete list of the data elements within these categories can be found in *Attachment B-1 Child File Data Elements*.

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 substantiated or indicated victim. For these victims, all fields in the record would then be submitted (fields 1–150).

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 or family. Postresponse 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 postresponse service. A service can start at any time prior to the Report Disposition Date provided it is associated with the CPS response.

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 information on a maximum of three persons who are found to be perpetrators of maltreatment. If the child was not found to be a substantiated or indicted 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

New data fields are added at the end of the Child File record, in a section called Additional Fields. In FFY 2003 two new data fields (fields 145–146) were added.

Field 145: 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.

Field 146: 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.

In FFY 2013, four new data fields (fields 147–150) were added.

Field 147: The hour and minute when the responsible agency was notified of the suspected child maltreatment.

Field 148: The hour and minute when CPS first had face-to-face contact with the alleged victim of child maltreatment.

Field 149: The month, day, and year of the child's death as a result of abuse or neglect.

Field 150: The month, day, and year the child was discharged from the last foster care episode.

1.3. 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 15th or 30th 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.

1.4. 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.

1.5. 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 150 fields. The total child record length is 336 characters. The record layout is the same for all records in the data file.
- A delimiter should be inserted at the end of each record in order for the data file to be read by the EVAA.
- 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.

1.6. STEPS IN PREPARING THE CHILD FILE

Additional guidance for the state IT staff, both new and experienced, is presented below.

IT staff new to NCANDS should:

- 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 should:

- 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 NCANDS 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.

1.7. 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. Although many of the conversion operations will be relatively straightforward, the following eight 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 column positions of each field in the child record must be strictly followed. The data submitted by the state are delimited. A delimiter is inserted after column 336 in each record.
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 zeroes 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.
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).

Attachment C-1 Agency File Data Elements

| 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.A-F | Families Funding Source: Child Abuse and Neglect State Grant (PSSTGTF) |
| 1.1.B-C | Children Funding Source: Community-Based Prevention of Child Abuse and Neglect Grant (PSCOSPC) |
| 1.1.B-F | Families Funding Source: Community-Based Prevention of Child Abuse and Neglect Grant (PSCOSPF) |
| 1.1.C-C | Children Funding Source: Promoting Safe and Stable Families Program (PSTLIVBC) |
| 1.1.C-F | Families Funding Source: Promoting Safe and Stable Families Program (PSTLIVBF) |
| 1.1.D-C | Children Funding Source: Social Services Block Grant (PSTLXXC) |
| 1.1.D-F | Families Funding Source: Social Services Block Grant (PSTLXXF) |
| 1.1.E-C | Children Funding Source: Other (PSOTHERC) |
| 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 (WKARTIME) |
| 2.3 | Number of Staff Responsible for CPS Functions (Screening, Intake, and Investigation/Assessment of 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 (substantiated, indicated or alternative response victim) Whose Families Received Family Preservation Services in the Previous Five Years (FPS5Y) |
| 3.2 | Child Victims (substantiated, indicated or alternative response victim) 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 (substantiated, indicated or alternative response victim) They Represent (COCONT) |
| 3.4 | Child Victims (substantiated, indicated or alternative response victim) 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 (substantiated, indicated or alternative response victim) 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) |

| 5. INFORMATION ON INDIVIDUALS WITH DISABILITIES EDUCATION ACT PART C | |
|---|---|
| 5.1 | Children Eligible for Referral-Individuals with Disabilities Education Act (IDEAELIG) |
| 5.2 | Children Referred-Individuals with Disabilities Education Act (IDEAREF) |

1.0 ATTACHMENT C-2 AGENCY FILE SUBMISSION INSTRUCTIONS

Aggregated data from either the Agency File or the SDC 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. Beginning with FFY 2012, the SDC is no longer a valid means of submitting current data. However, resubmissions of SDC data for data years prior to FFY 2012 will still be accepted.

1.1. THE AGENCY FILE FOR FFY 2014

CAPTA, as amended by the CAPTA Reauthorization Act of 2010 (P.L. 111–320) in section 5106a (d)(16) asks for:

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.).

Guidance from the Children’s Bureau on collecting these data is as follows:

CAPTA does not specifically require that every child younger than 3 years old who is involved in a substantiated case of child abuse or neglect must be referred to Part C services. Therefore, states have the discretion as to whether to refer every such child younger than 3 years for early intervention services, or to first employ a screening process to determine whether a referral is needed. It is up to the state to determine how children referenced in section 106(b)(2)(B)(xxi) of CAPTA will be screened and, if appropriate, referred to the Part C early intervention program in the state.

Beginning with the FFY 2013 data submission period, two new data fields have been added to the Agency File to fulfill this requirement: Field 5.1, Children Eligible for Referral-Individuals with Disabilities Education Act and Field 5.2, Children Referred-Individuals with Disabilities Education Act.

Children Eligible for Referral-Individuals with Disabilities Education

This is an unduplicated count of the number of children eligible for referral to agencies providing early intervention services under Part C of the Individuals with Disabilities Education Act. Enter the number of unique child victims (substantiated, indicated, or alternative response victim) under age 3 reported in the current Child File submission who are eligible for referral to agencies providing early intervention services under Part C of the Individuals with Disabilities Education Act.

Children Referred-Individuals with Disabilities Education Act

This is an unduplicated count of the number of children actually referred to agencies providing early intervention services under Part C of the Individuals with Disabilities Education Act. Enter the number of unique child victims (substantiated, indicated, or alternative response victim) under the age of 3 reported in the current Child File submission referred to agencies providing early intervention services under Part C of the Individuals with Disabilities Education Act. This number should be less than or equal to the number of children eligible for referral.

1.2. 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.

Use the following steps to navigate to the state site from the NCANDS Project Site:

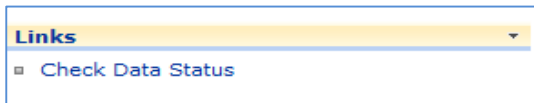
1. Select your state name from the Select Site dropdown on the Site Navigation bar, on the right of the NCANDS Project Site Home Page.



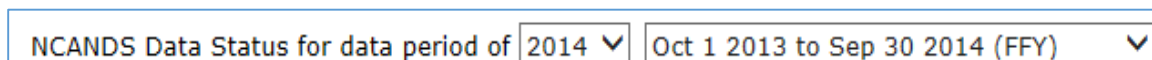
2. Click **Go** to navigate to the state site. Note that if you select the wrong state and click Go you will be prompted for the user name and password again.

At the state site, follow these steps to submit Agency Data:

1. Click on the **Check Data Status** on the state site Links toolbar.



2. Select the appropriate Year and Period of the data being submitted from the two dropdown menus.



3. Click **Enter** under the Agency Data section to 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 resubmit data, you will see the Modify button.

Enter data in the respective data entry fields to answer each item. Enter comments as necessary for each item. Move the mouse over the orange question mark to obtain more detailed information about the item. Click on the TAB links on the top of the page to navigate to more items.

| 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"/> | <input type="text"/> | <input type="text"/> |
| 1.1.A-F | Families Funding Source: Child Abuse and Neglect State Grant (PSSTGTF) | <input type="text"/> | ? | Comments: | <input type="text"/> | <input type="text"/> | <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"/> | <input type="text"/> | <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"/> | <input type="text"/> | <input type="text"/> |
| 1.1.C-C | Children Funding Source: Promoting Safe and Stable Families Program (PSTLIVBC) | <input type="text"/> | ? | Comments: | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 1.1.C-F | Families Funding Source: Promoting Safe and Stable Families Program (PSTLIVBF) | <input type="text"/> | ? | Comments: | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 1.1.D-C | Children Funding Source: Social Services Block Grant (PSTLXXC) | <input type="text"/> | ? | Comments: | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 1.1.D-F | Families Funding Source: Social Services Block Grant (PSTLXXF) | <input type="text"/> | ? | Comments: | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 1.1.E-C | Children Funding Source: Other (PSOTHERC) | <input type="text"/> | ? | Comments: | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 1.1.E-F | Families Funding Source: Other (PSOTHERF) | <input type="text"/> | ? | Comments: | <input type="text"/> | <input type="text"/> | <input type="text"/> |

4. Click **Save** to save the information. The save process allows you to enter and save data during multiple sessions (i.e., data can be entered and saved as they become available for different sessions before the final submission). Note that data errors, if any, display at the top of the page. An option to override the error messages and continue the save process displays in the warning message.
5. Click **Compare** 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 information in the comment fields for the items with considerable differences from the previous year.
6. Click **Close Window** to close the Data Comparison page.
7. Click **Download** to display or save the Agency file with the data in Microsoft Word format.
8. Click **Submit** when you are ready to submit the data. If the data submission is successful, the Data Submission Status page displays. 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 or an acceptable number of 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.