

**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.).
- with Disabilities Education Act (20 U.S.C. 1431 et seq.).
17. The number of children determined to be victims described in subsection (b)(2)(B)(xxiv).
  18. The number of infants—
    - (A) identified under subsection (b)(2)(B)(ii),
    - (B) for whom a plan of safe care was developed under subsection (b)(2)(B)(iii)
    - (C) for whom a referral was made for appropriate services, including services for the affected family or caregiver, under subsection (b)(2)(B)(iii)

### Attachment B-1 Child File Data Elements

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 Investigation/Assessment (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)
<b>II. CHILD DATA</b>	
12	Child Age At Report (CHAGE)
13	Child Date Of Birth (CHBDAT)
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 Hispanic or Latino Ethnicity (CHETHN)
22	Child 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) <a href="#">adding code "7= sex trafficked" to existing field</a>
27	Maltreatment-1 Disposition Level (MAL1LEV)
28	Maltreatment-2 Type (CHMAL2) <a href="#">adding code "7= sex trafficked" to existing field</a>
29	Maltreatment-2 Disposition Level (MAL2LEV)
30	Maltreatment-3 Type (CHMAL3) <a href="#">adding code "7= sex trafficked" to existing field</a>
31	Maltreatment-3 Disposition Level (MAL3LEV)
32	Maltreatment-4 Type (CHMAL4) <a href="#">adding code "7= sex trafficked" to existing field</a>
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	Intellectual Disability-Child (CDRTRD)
38	Emotional Disturbance-Child (CEMOTNL)
39	Visual Or Hearing Impairment-Child (CDVISUAL)
40	Learning Disability-Child (CDLEARN)
41	Physical Disability-Child (CDPHYS)
42	Behavior Problem-Child (CDBEHAV)
43	Other Medical Condition-Child (CDMEDICL)

<b>Field</b>	<b>Child Data Element Long Name (Short Name)</b>
<b>V. CAREGIVER RISK FACTOR DATA</b>	
44	Alcohol Abuse-Caregiver(S) (FCALC)
45	Drug Abuse-Caregiver(S) (FCDRUG)
46	Intellectual Disability-Caregiver(S) (FCRTRD)
47	Emotional Disturbance-Caregiver(S) (FCMOTNL)
48	Visual Or Hearing Impairment-Caregiver(S) (FCVISUAL)
49	Learning Disability-Caregiver(S) (FCLEARN)
50	Physically Disability-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)
<b>VI. SERVICES PROVIDED DATA</b>	
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-Disabilities (SSDISABL)
82	Special Services-Juvenile Delinquent (SSDELINQ)
83	Substance Abuse Services (SUBABUSE)
84	Transportation Services (TRANSPRT)
85	Other Services (OTHERSV)
<b>VII. STAFF DATA</b>	
86	Worker ID (WRKRID)
87	Supervisor ID (SUPRVID)
<b>VIII. PERPETRATORS DATA</b>	
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)

<b>Field</b>	<b>Child Data Element Long Name (Short Name)</b>
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 Hispanic or Latino 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 Hispanic or Latino 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 Hispanic or Latino 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)
<b>IX. ADDITIONAL FIELDS</b>	
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)
151	<a href="#">Has A Safe Care Plan</a>
152	<a href="#">Referral to CARA-Related Services</a>

## 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).

States are encouraged to sort the Child File by report identifier (report ID) then child identifier (child ID) before submission. This sort places the report IDs in order and all children with a given report would then appear sequentially in the file. This 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 or indicated. 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 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-dubstantiated 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 1 indicates the appropriate Report Disposition based on the maltreatment levels in a given report. The NCANDS Website applies a rule to the Child File to detect noncompliance to these hierarchy rules.

### Exhibit 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. The maltreatment level of “No Alleged Maltreatment” can be used in a report with either an investigation or assessment.

## Submitting Available State Data

All states are encouraged to submit data for all fields in the Child File

States should examine carefully the logic on all fields that are extracted from their state child welfare information systems. The value distribution reports found on the NCANDS Website 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 to identify and resolve problems.

## Child File Validation Rules

The data in all Child Files are validated with the NCANDS Website 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.”

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, except for 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 (fields 88–144) 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 post-response 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 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 substantiated or indicated 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. The most recent addition occurred in FFY 2013 when several date and time fields were added.

## **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 “mmdyyy” 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 each 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). Do not use blank in these instances. Blanks are only used for fields in which data are not captured.

### **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. The state should not use blanks in combination with yes or no for these 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 pair, 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 as defined in Attachment B-1 Child File Data Elements. 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 for the data file to be read by the Validation Program.
- 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 R-C 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.

- 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.
- 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 Website.

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. The mapping forms list all error conditions associated with each specific field.
8. As mentioned earlier, it is a good policy to sort the Child File sequentially by R-C pairs (i.e., child ID within report ID).

### Attachment C-1 Agency File Data Elements

Field	Agency Summary Data Element Long Name (Short Name)
<b>1. PREVENTIVE SERVICES</b>	
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)
<b>2. ADDITIONAL INFORMATION ON REFERRALS AND REPORTS</b>	
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)
2.5	Number of screened-out referrals from healthcare providers involved in the delivery or care of infants and who referred such infants born with and identified as being affected by illegal substance abuse or withdrawal symptoms resulting from prenatal drug exposure, or a Fetal Alcohol Spectrum Disorder.
<b>3. ADDITIONAL INFORMATION ON CHILD VICTIMS REPORTED IN CHILD FILE</b>	
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)
<b>4. INFORMATION ON CHILD FATALITIES NOT REPORTED IN CHILD FILE</b>	
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)
<b>5. INFORMATION ON INDIVIDUALS WITH DISABILITIES EDUCATION ACT PART C</b>	
5.1	Children (Substantiated or Indicated) Eligible for Referral-Individuals with Disabilities Education Act (IDEAELIG)
5.2	Children (Substantiated or Indicated) Referred-Individuals with Disabilities Education Act (IDEAREF)

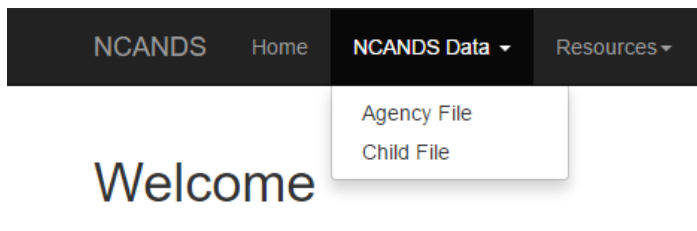
## 1.0 ATTACHMENT C-2 AGENCY FILE SUBMISSION INSTRUCTIONS

Aggregated data from the Agency File are submitted electronically online. The automated aggregate data collection capability is referred to as the Agency Data Collection System. It enables the state to enter, review, comment upon, and save the data directly on the NCANDS Website.

### 1.1. SUBMITTING AGENCY DATA TO NCANDS TUTORIAL

All files submitted to NCANDS will be transmitted from the state via the NCANDS Website. The NCANDS Website is an online secure collaboration website which can be used by states to validate, submit and track the status of NCANDS files. Each state has a secured private site on the NCANDS Website. No other state has access to a given state's site and its contents. The NCANDS Technical Team also has access to the state's secured site. The Team member can transfer state files from the site or place files in the site for the state to download. Use the following steps to navigate to the state Agency Data Collection System:

1. From the Site Navigation Bar, select Agency File from the NCANDS Data dropdown menu.



Follow these steps to submit Agency Data:

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

<b>Year</b> 2016	<b>Data Period</b> Fiscal Year starting in October (FFY)	<b>State:</b> <b>Year:</b> 2016 - Fiscal Year starting in October (FFY) <b>Status:</b> Not Started
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- Click through the tabs and begin entering your Agency File data into each of the respective current year dialog boxes. Move your mouse over the black chat bubbles next to each field name to obtain more information about the item.

Export to file...

Preventive Services   Referrals and Reports   Child Victims   **Child Fatalities**   IDEA

Prior 2015 Accepted	Previous 2016 Not Started	Current 2016 Not Started	Difference Current vs Prior
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4.1 Child Maltreatment Fatalities not Reported in the Child File (FATALITY) ⓘ	0		0%
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Please explain any changes compared to the prior year.

Comments

4.2 Child Victims Who Died as a Result of Maltreatment While in Foster Care Not Reported in the Child File (FATALFC) ⓘ	0		0%
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Please explain any changes compared to the prior year.

Comments

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) ⓘ			
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Please explain any changes compared to the prior year.

Comments

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) ⓘ			
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Please explain any changes compared to the prior year.

Comments

Save   Submit for Review   Cancel



3. The prior year accepted Agency File submission is available in the left most column, and as current year data is entered into each field, the difference between the two is calculated in the right most column. If there was a previous submission of current year data, it will also be displayed.
4. If the difference between the most recent submission and the prior year data exceeds predetermined thresholds, comments are required to explain this discrepancy before the state may submit their data for review. Other comments explaining the data are also welcome.
5. 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). Indication that the Agency component has successfully saved displays at the top of the screen.
6. Select **Export to File** to save the Agency File with entered data as a PDF, Excel Worksheet, PowerPoint Presentation, or Word Document.
7. When you have finished entering data and are ready for it to be reviewed by your NCANDS Technical Team Liaison, select **Save** and then **Submit for Review**. Note that remaining data errors, if any, display at the top of the page and must be reconciled before the submission can be processed. If you are unsure of how to proceed, contact your NCANDS Technical Team Liaison for guidance.

After the user has submitted the data, the NCANDS Technical Team will review them. If the data are found to have no errors or an acceptable number of errors, the data submission will be recommended for acceptance by the Administration for Youth and Families. Otherwise, a request for a data resubmission will be made. Resubmission requests and notifications of acceptance will both be sent to the state's Primary Contacts by their NCANDS Technical Team Liaison and by the NCANDS Website itself. To resubmit the data, follow the steps (see Step 2 above) for modifying the data or providing further comments.