

Access to CPS Investigation Stages by Voluntary/Contract Agencies

Wednesday, September 12, 2007

Participant Materials



**New York State
Office of
Children & Family
Services**

New York State
Office of Children and Family Services Bureau of Training
and
SUNY Training Strategies Group

ACCESS TO CPS INVESTIGATION STAGES BY VOLUNTARY/CONTRACT AGENCIES

9/12/07

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Administrative Directive

| | |
|-------------------------------------|---|
| Transmittal: | 07-OCFS-ADM-__ (SPPD puts in number) |
| To: | Commissioners of Social Services Executive Directors of Voluntary Authorized Agencies |
| Issuing Division/Office: | Office of Strategic Planning and Policy Development |
| Date: | Of issue (SPPD puts in date) |
| Subject: | Access to Child Protective Services Investigation Information |
| Suggested Distribution: | For Example: Directors of Service Child Protective Services Supervisors Child Welfare Supervisors Staff Development Coordinators Contract Preventive Agency Program Directors Voluntary Agency Foster Care Program Directors CONNECTIONS Implementation Coordinators |
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| Attachments: | no |
| Attachment Available Online: | n/a |

Filing References (*check on these –be sure that are correct and there are no typos*)

| | | | | | |
|------------------------------------|-----------------------|---|---|-------------|---|
| Previous ADM 05-OCFS- ADM-02 | Releases Cancelled | Dept. Regs. 18 NYCRR 428. 3(g), 428.5(c)(2), 432.2(b)(3)(ii) (b) Part 432 | Soc. Serv. Law & Other Legal Ref. SSL 422(4)(A) SSL 424 | Manual Ref. | Misc. Ref. June 8, 2007 letter from OCFS to Commissioners and Executive Directors |
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I. Purpose

The purposes of this Administrative Directive are the following:

- To identify the modifications made to the CONNECTIONS application that will support Voluntary Authorized Agency Foster Care/Adoption staff and Contract Preventive Agency staff (VA/Prev), who have an appropriately assigned role in a case, to access information maintained in Child Protective Services (CPS) Investigation stages that are “Under Investigation” or “Indicated”.
- To identify existing statutory and regulatory authority for providing access to CPS information.
- To reinforce the mandate for maintaining the confidentiality of the reporter/source of a CPS report.
- To provide policy and practice guidelines for staff who will have the authority to access this information and the commensurate responsibilities for maintaining the confidentiality of such information.

II. Background

The original federally approved design of CONNECTIONS supported comprehensive access to all case information maintained in the New York State (NYS) electronic case management system. This included all CPS investigation stages (except “Unfounded”) and Family Services Stages for all Child Protective/Child Welfare cases, including, but not limited to, all progress notes maintained in each case. This access was scheduled to be supported statewide with the implementation of Build 18, beginning in March 2005. Prior to scheduled implementation, it was discovered that identifying information relative to the source of the CPS report was documented in some CPS investigation stage progress notes. To minimize the potential for non-compliance with section 422(4)(A) of the Social Services Law (SSL) which establishes limitations on the disclosure of the name and identifying information of the reporter/source of a report of suspected child abuse or maltreatment, it was necessary to prohibit access to CPS investigation stages by VA/Preventive staff until a technological and programmatic solution could be developed that would address the issue of confidentiality.

By letter dated October 14, 2004, OCFS informed Commissioners and Executive Directors of the necessary changes to Build 18 and instructed CPS staff on the new process for documentation of all information relevant to the reporter/source of the report in Progress Notes in the investigation stage. This was further reinforced in subsequent amendments to OCFS regulations 18NYCRR 428.3(g), 428.5(c)(2), 432.2(b)(3)(ii)(b), and 05-OCFS ADM-02 (Build 18– Case Management Administrative Directive) issued on April 19, 2005.

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In Build 18 to facilitate broader notification, CONNECTIONS began sending an “Alert” to each worker with an assigned role in a Family Services Intake or a Family Services Stage, including all VA/Prev, to notify them that a person listed in the same stage is now involved in a new CPS Intake. An “Alert” is also sent at the time of the Investigation Stage determination. This supports notification to the VA/Prev staff person of necessary information relevant to their work with families they serve. VA/Prev staff may then contact the CPS worker to discuss the safety concerns in the case, allegations in the report and other critical issues that the VA/Prev worker needs to know in providing ongoing services and support to the family and further protection of the child(ren). The modifications to CONNECTIONS identified in this administrative directive will improve upon the current process, support effective collaboration and provide immediate access to essential information regarding family issues or circumstances that VA/Prev staff need to assist in protecting children, providing effective services, and supporting families.

III. Program Implications

In accordance with section 422(4)(A)(o) of the SSL, where a LDSS refers a child or family to a voluntary authorized agency providing foster care or adoption services or to a preventive services agency, such agency is authorized to receive reports or other information necessary on pending or indicated reports of abuse or maltreatment to enable the voluntary authorized agency or preventive services agency to establish and implement a plan of services for the child or family and to directly provide services to such child or family. In addition, voluntary authorized agencies providing foster care for a child named in a report, whether under investigation or indicated, are authorized access to CPS information pursuant to section 422(4)(A)(c) of the SSL.

Access in CONNECTIONS will be provided to all historical Child Protective Services (CPS) Investigation Stages established as of January 1, 2006 for all VA/Prev staff. This will include access through an “Implied Role” to CPS investigation information in both “Indicated” and “Under Investigation” stages for the children and families served through contractual agreements with, and on behalf of, local Departments of Social Services and the Administration for Children’s Services (LDSS/ACS), but excludes all access to any investigation stages that are determined “Unfounded”. For CPS Investigation Stages prior to January 1, 2006, allegations contained in reports, results of the investigation, safety and risk assessments, case history, and other pertinent information will be shared, as is currently required and noted in the Background section of this directive, with service providers, in a manner which is consistent with statute and safeguards the confidentiality of the information.

IV. Required Action

Access to historical and current information maintained in a CPS investigation stage will provide all assigned staff, responsible for the ongoing safety, health, well-being and permanency of children, the ability to be better informed and effective in both protecting

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children and providing essential services and support to children and families. This includes all CPS, Preventive, Foster and Adoption staff.

Documentation of Reporter/Source

As previously instructed in 05-OCFS-ADM-02, effective April, 2005, all identifying information related to the reporter/source of a report of abuse or maltreatment made to the SCR must be documented in the following manner:

- All CPS staff are required to *enter any identifying information related to contacts with the reporter/source in Investigation Stage Progress Notes only, using the “Other Participant” data field with the value of “reporter/source.”*
- Social services district staff must not include any identifying information regarding the reporter/source, including the institution, organization, etc. with which the person is affiliated, in any narrative field in Safety Assessments, the Risk Assessment Profile, Investigative Findings or Investigative Actions.
- Identifying information related to reporter/source of a child protective services report must not be included in any Progress Note in the Family Services Stage, or any other narrative portion of the Family Services Intake or Family Services Stage.
- Progress Notes must be made as contemporaneously as possible with the occurrence of the event or the receipt of the information which is to be recorded. (18 NYCRR 428.5(a))

Confidentiality

IMPORTANT: CPS information received by staff of a voluntary authorized agency or a preventive services agency from LDSS/ACS is confidential pursuant to section 422(4)(A) of the SSL and such information may not be shared with any other person or agency, unless as authorized by law.

Examples of authorized redisclosure by a voluntary authorized agency or preventive services agency of CPS information received from a LDSS/ACS include:

- CPS information received pursuant to section 422(4)(A)(o) of the SSL may be shared with other persons or agencies which also provide services to the child or family only if there is an agreement between the voluntary authorized agency or the preventive services agency and the applicable LDSS/ACS that sets forth the persons and/or agencies to which CPS information may be shared and such agreement is described in the LDSS/ACS' consolidated services plan prepared and approved pursuant to section 34-a of the SSL.
- A voluntary authorized agency or a private preventive services agency may redisclose CPS information received pursuant to section 422(4)(A)(A)(o) of the SSL to those persons or agencies set forth in sections 422(4)(A)(a), (b), (c), (j), (k), (l), (m) and (q) of the SSL in order to facilitate an investigation conducted by such persons or agencies.

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Note: Section 422(12) of the SSL sets forth a criminal penalty for the willful permitting or encouragement of the release of confidential CPS information to any person or agency not authorized to have access.

Communication with a Parent or Child:

A voluntary authorized agency or a preventive services agency is not legally responsible or authorized to notify a parent, relative, guardian, other person legally responsible or child of the existence of a report of suspected child abuse or maltreatment. That is the legal responsibility of the applicable LDSS/ACS.

When a voluntary authorized agency or a preventive services agency is advised by a LDSS/ACS of the existence of a report of suspected child abuse or maltreatment, such agency must not notify the family or child of the existence of the report. Such disclosure is not authorized by law and may jeopardize the pending investigation and the efforts to prevent further abuse or maltreatment.

If the parent or child directly advises the worker of the existence of the report, then as it occurs now, it is the responsibility of the VA/Prev worker to assist the parent, subject and child to understand, in conjunction with CPS, what happens in an investigation, what the family may expect, and how this may affect the current safety plan and/or services plan that the family is currently engaged in with the VA/Prev worker. The focus of this interaction is how the new investigation will impact the efforts the family and the VA/Prev workers are engaged in towards addressing the needs of the family. It is the CPS worker's responsibility for explaining the allegations, clarifying to the family the process of the investigation and what actions will be taken relative to the new report to protect the children and complete the full investigation. If a parent or child asks the voluntary authorized agency or preventive services agency to provide CPS information such agency received from the LDSS/ACS, the agency should refer the parent or child to the applicable LDSS/ACS for access purposes.

Staff must be apprised of and knowledgeable of all applicable statutes and regulations on confidentiality, sharing information and the re-disclosure of confidential case information. Within a voluntary authorized agency or preventive services agency, the application of the principle of "need to know" when sharing or disclosing case information has been and continues to be the standard by which information is shared among all staff who are working with children and families served through CPS and other child welfare services. This is true for staff employed by both LDSS/ACS, voluntary authorized agencies and preventive services agencies.

Roles and Responsibilities

It is important to be cognizant and respectful of the different roles and responsibilities each person involved with the family has in the case. These roles do not change based upon the ability for VA/Prev staff to now access additional information regarding the child protective services investigation.

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The comprehensive lists of tasks and duties of the CPS worker assigned to investigate reports of abuse and maltreatment are outlined in section 424 of the SSL and OCFS regulations 18 NYCRR Part 432, however, it is important to note some of the specific tasks that are the unique responsibility of the CPS worker in their efforts to protect the child(ren), complete a thorough investigation of any new CPS report, and determine if it is necessary to open or continue the family's case with a provision of services that includes the monitoring of identified safety and risk issues in the family. These include:

- Subject/Other Person Named in the Report Notification of the existence of a report within 7 days of the receipt of a report or abuse or maltreatment from the Statewide Central Register of Child Abuse and Maltreatment.
- Initiation of the investigation within 24 hours of receipt of the report.
- Assessment of the immediate or impending danger of harm to the child(ren).
- Evaluation of the environment of a child(ren) named in the report and any other children in the same home.
- Assessment of safety of the child(ren) within 7 days of the receipt of the report.
- Determination of the risk to the child(ren) if they continue to remain in the same home.
- Determination of the nature, extent and cause of any condition, injury or circumstance related to the child(ren) or the home environment as noted in the report within 60 day.
- Determination of the initial risk of future abuse or maltreatment relative to this investigation and the need to open or continue a services case
- Determination to indicate or unfound the report within 60 days of the receipt of the report
- Take a child(ren) into protective custody to protect him from further abuse or maltreatment.

Staff from LDSS/ACS, voluntary authorized agencies and preventive services agencies also have a unique role in the case and responsibilities that sometimes appear dichotomous. These includes being the worker who is both support to the family and advocate on behalf of the children and family, but who must also, simultaneously, be the worker responsible for the development, coordination and implementation of the ongoing service plan, management and oversight of ongoing safety plans for the child(ren) who both remains at home or is placed in foster care, and be the guide and change agent that supports the family's ability to plan for and secure the health, safety, permanency and well-being of their child(ren).

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

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Benefits of providing access to VA/Prev staff include, but are not limited to:

- Provision of a longitudinal and more comprehensive view of the families needs and potential abuse or neglect of children that will assist in the therapeutic progress of child(ren) or other family members.
- Minimizes the child and the family's need for repetitive explanations of potentially traumatic or difficult past experiences.
- Verification of past histories that may conflict with information presented to the VA/Prev worker from the parent or child.
- Historical information that will assist in making a more appropriate placement of a child when first admitted to foster care, thus reducing the necessity for repeated moves of the child.
- Ability of VA/Prev staff to provide additional protection to the child(ren) after discussion with CPS, and in support of anticipated or current safety plan.
- Ability of VA/Prev staff to make better decisions regarding persons who may be involved in the child(ren)'s lives who may or may not be appropriate resources for the child and the family.
- Ability of VA/Prev staff, in conjunction with CPS, to determine appropriate, or modifications to, visitation plans for children in foster care.
- Development of more effective service plans that are based on a broader understanding of the child(ren) and family's history of abuse, maltreatment or trauma.
- Ability of VA/Prev staff to better support the family and assist in identifying community resources during the investigation period.
- Ability of VA/Prev staff to view CPS information may decrease the number of reports made that may be related to previous circumstances or abuse/maltreatment previously unknown to workers that were already investigated.
- Ability for both CPS and VA/Prev to discuss and to confirm information that was obtained independently by both parties that may support challenging the inconsistency of information obtained from parents or children.
- Ability for both VA/Prev and CPS staff to discuss more openly and honestly with children and parents issues relative to history of abuse or malreatment.
- VA/Prev staff may have additional information related to allegations or other safety/risk issues in the family that expedites implementation of the appropriate safety plan and interventions.
- VA/Prev staff, upon viewing information in an open investigation, may have additional information or contacts related to the allegations that may be of assistance to the CPS worker in developing the initial safety plan or completing the investigation.

Access to the CPS investigation stage will provide both historical and current information relevant to the case. Based upon the point in time that the VA/Prev worker is accessing the CPS investigation stage different information may be available. If the investigation stage has been recently created, the documentation available may be minimal, until that CPS staff person has an ability to assess and provide for the safety of the children in the

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household. VA/Prev staff will be able to view all allegations immediately upon receipt of the appropriate “Alert” that will assist them in working closely with CPS staff to support the safety plan.

For CPS investigations with a determination of “Indicated”, the investigation stage will include:

- Specific allegations that were investigated,
- The substantiation of the allegations,
- The safety assessments completed within 7 days of the receipt of the report and within 7 days of the determination,
- The risk assessment profile,
- The investigation conclusion,
- Case disposition which reflects whether the case was opened for service at the time of the determination.
- Progress notes
- Local District Templates

V. Systems Implications

With the new design and security that will be implemented this fall, the OCFS is now able to provide access to CPS information in CONNECTIONS on “Under Investigation” and “Indicated” Investigation stages to VA/Prev staff. To protect the identity of the reporter/source, support full viewing ability of historical and current CPS information by assigned VA/Prev staff, and concurrently provide CPS staff the ability to document appropriate contact with the source during the course of the investigation, OCFS has taken the following actions:

- The CPS Intake Stage will be viewable by LDSS/ACS staff only.
- Only LDSS/ACS staff assigned the specific business function, “View Reporter/Source” will be able to view the identity of the reporter/ source.
- Only persons with “View Unfounded” may see any CPS cases with an “Unfounded” determination
- Only LDSS/ACS staff may be assigned the business function, “View Unfounded”
- VA/Prev staff will be able to view the entire Child Protective Record Summary (CPRS) for “Under Investigation” or “Indicated” investigation stages which includes information pertinent to each allegation, subject of the report, and child listed in the Intake report, but no narrative information from the Intake, which may reveal identifying information related to the reporter/source.
- VA/Prev staff will be able to view Safety Assessments, the Risk Assessment Profile, all related progress notes, Investigation Conclusions, and any other relevant information maintained in the CPRS, as well as any events related to fatalities (including 24 hour and 30 day fatality reports) in the investigation stage for “Under Investigation” and “Indicated” investigation stages,

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- In the documents previously referenced, OCFS established clear guidelines, effective April 19, 2005, for the necessary documentation of all contact with reporter/source in Progress Notes by CPS staff.
- Development of security in CONNECTIONS that blocks all information documented in the **Progress Note data field, “Other Participant”, with a value of “Reporter/Source”** from viewing by a VA/Prev staff person.
- Prohibits the printing of any investigation stage prior to a determination of “Indicated” by VA/Prev staff.

How to Access the CPS Investigation Stage

In order to access CPS investigation stages, VA/Prev staff with an assigned role in a case should follow the following procedure. This procedure is also available in the Job Aid and Help within the CONNECTIONS application.

Select the FSS stage from your workload
Click Options, highlight Person List
Highlight shared person
Click Options, Case list
Highlight case, click Summary button
Highlight INV stage, click Events button
Highlight Child Protective Record Summary, click Detail button
Click desired tab

VI. Effective Date

This directive is effective with the implementation of Build 18.9.3 in CONNECTIONS

Issued By: Office of Children and Family Services

Name: Nancy Martinez

Title: Director

Division/Office: Office of Strategic Planning and Policy Development

NYS Office of Children and Family Services
CONNECTIONS Case Management

Impact Analysis

Subject: NYS Case Management Model

Functional Area: Access to Child Protective Services Investigation Stage by Contract Preventive, Foster Care or Adoption Agency Workers

Brief Description of Current Function/Process:

When a Local Department of Social Services (LDSS) refers a child or family to a foster care or preventive services agency, that agency is authorized to receive Child Protective Services (CPS) information to enable the agency to establish and implement a plan of services for the child or family or directly provide services to the child or family. (Social Services Law section 422(4)(A)(o))

Voluntary authorized agencies providing foster care for a child named in a report, whether under investigation or indicated are authorized access to CPS information. (Social Services Law section 422(4)(A)(c))

A Contract Preventive, Foster Care or Adoption Agency (Agency) worker with an implied role in a new CPS Investigation (INV) stage receives an “Alert” notifying them of the existence of a new report, when that report is determined, and when investigation stages are merged (a subsequent report investigation stage merged into an existing open investigation stage). Current practice pertaining to the sharing of CPS information by local departments of social services with agencies varies widely. It is generally accomplished through verbal means such as telephone contacts or case conferences. In some instances, a copy of material from the CPS record is shared with agencies to which a child and family are referred. Agency staff persons have, historically, had no independent means to access this information.

What Remains the Same:

The statutory authority and responsibility for sharing CPS information that is noted in the preceding section remains the same.

The name and identifying information of the reporter/source of a CPS report may not be disclosed, absent the written consent of the reporter/source. CPS staff should continue to record identifying information regarding the reporter/source of a CPS report in the manner outlined in 05-OCFS-ADM-02.

Only persons assigned the business function “View Reporter/Source” will be able to view the identity of reporter/source in the CONNECTIONS record. Only LDSS/ACS staff may be assigned this business function.

The CPS Intake Stage will be viewable by LDSS/ACS staff only.

Only persons assigned the business function of “View Unfounded” may view a CPS investigation stage with an “unfounded” determination. Only LDSS/ACS staff may be assigned this business function.

Limitations and criminal penalties for unauthorized re-disclosure of CPS case information (as contained in various provisions of Social Services Law section 422.) remain the same. (Class A Misdemeanor)

What is New or Changes:

CONNECTIONS now supports the statutory provision that authorizes Agency staff, with an appropriately assigned role in a Family Services Intake stage or Family Services stage, who is responsible for either the care of a child placed in foster care, or for the development and implementation of a service plan access to essential CPS investigation information in “Indicated” or “Under Investigation” stages.

Voluntary Agency/Preventive (Agency) staff will have “View” access in CONNECTIONS to all historical Child Protective Services (CPS) Investigation stages established as of January 1, 2006 in which they have an implied role. Generally this means that there is a person in common between a case member in the FSS in which the Agency worker has a role and the CPS INV stage. This will include access to CPS investigation information in both “Indicated” and “Under Investigation” stages, but excludes all access to any investigation stages that are determined “Unfounded”. This also excludes access to all Institutional Abuse, Day Care and Foster Home Reports, unless otherwise authorized.

The CPS Investigation Stage record includes:

- Person and demographic information pertaining to the subject(s), child(ren), and other persons named in the CPS report
- Specific allegations that were investigated,
- The substantiation of the allegations,
- The safety assessments completed within 7 days of the receipt of the report and within 7 days of the determination,
- The risk assessment profile,
- The investigation conclusion,
- Case disposition which reflects whether the case was opened for service at the time of the determination.
- Any events (e.g., 24 and 30 day reports) related to fatalities in the investigation stage for “Under Investigation” and “Indicated” investigation stages.
- Progress Notes
- Local Templates

Agency staff will not have access to any narrative information from the “Intake” Stage that may reveal reporter/source identifying information.

Agency staff will not have access to progress notes where the “other participant” data field is populated with “Reporter/Source.”

Agency staff will not be able to print an “Under Investigation” INV stage.

Implications/Considerations:

System

- **REMINDER:** All CPS staff are required to *enter any identifying information related to contacts with the reporter/source in Investigation Stage Progress Notes only, using the “Other Participant” data field with the value of “reporter/source.”*
- Agencies should carefully assess how system security is organized, limiting access to cases on a strictly “need to know” basis.
- Agency staff will need to understand navigation to and around the Child Protective Record Summary in the CPS Investigation (INV) stage. OCFS will be providing resource material to assist staff.
- Agency staff will be able to view CPS INV stages that were initiated on or after January 1, 2006. It will be necessary for agency staff to receive information pertaining to reports created before that date through communication with the local district.
- The ability of LDSS and Agency staff to have full access to the comprehensive family case record in CONNECTIONS depends on all of the information pertaining to an individual being linked to the same person identifier (PID). The existence of multiple identifiers for the same person has been a longstanding problem and needs to be addressed through clean-up of existing “duplicates” and the creation/reinforcement of procedures to prevent the creation of new ones.
- Upon receipt of information/notification that an “Indicated” determination has been modified or expunged based on an administrative review or fair hearing, the Agency must destroy any printed information related to that identified Investigation Stage.

Program

- Staff must be apprised of and knowledgeable of all applicable regulations and laws on confidentiality, sharing information and the re-disclosure of confidential case information.
- Agency should develop guidelines for staff on access to CPS information, appropriate sharing and disclosure of information and confidentiality of all CPS investigation information.
- LDSS and Agency should develop a process for ensuring the integrity of the CPS investigation process that clarifies, respects and reinforces the specific roles and tasks of the CPS investigator and the Prev/FC/Adop Agency worker during the investigation process and maximizes the Agency worker’s current knowledge of, and experience working with the family.

Access to CPS Investigation Information

History

- Access to CPS Information Authorized, but not Easily Accessible
- Original Design of CONNECTIONS
- Build 18 Implementation

History

- Access to CPS Information Authorized, but not Easily Accessible

History

- Access to CPS Information Authorized, but not Easily Accessible
- Original Design of CONNECTIONS
- Build 18 Implementation
- Mandated Reporter/Source

History

- Access to CPS Information Authorized, but not Easily Accessible
- Original Design of CONNECTIONS

OCFS Notification

- October 14, 2004 Letter from OCFS to Commissioners/Executive Directors

OCFS Notification

- October 14, 2004 Letter from OCFS to Commissioners/Executive Directors
- 05 – OCFS-ADM -02 (Build 18 ADM)
Issued April 19, 2005

OCFS Notification

- October 14, 2004 Letter from OCFS to Commissioners/Executive Directors
- 05 – OCFS-ADM -02 (Build 18 ADM)
Issued April 19, 2005
- Changes to 18 NYCRR 428 and 432
- June 8, 2007 Letter from OCFS to Commissioners/Executive Directors
- New DRAFT ADM (packets)

OCFS Notification

- October 14, 2004 Letter from OCFS to Commissioners/Executive Directors
- 05 – OCFS-ADM -02 (Build 18 ADM)
Issued April 19, 2005
- Changes to 18 NYCRR 428 and 432

422(4)(A)(o) of Social Services Law (SSL)

- Authorizes Disclosure of CPS Information to a Coordinator or Provider of Services
 - Provider of Services:
 - Voluntary Authorized Agency (Foster Care)
 - Preventive or Adoptive Services Agency
 - School or Health Care Provider

OCFS Notification

- October 14, 2004 Letter from OCFS to Commissioners/Executive Directors
- 05 – OCFS-ADM -02 (Build 18 ADM)
Issued April 19, 2005
- Changes to 18 NYCRR 428 and 432
- June 8, 2007 Letter from OCFS to Commissioners/Executive Directors

Section 422(4)(A)(o) of the SSL

- Authorizes Disclosure of CPS Information on Pending and Indicated CPS Cases.
- No Court Order or Release Needed
- Does Not Authorize Disclosure of Legally Sealed Unfounded CPS Information

Section 422(4)(A)(o) of the SSL

- Misconception: Statute is New
- Statute Initially Enacted by Chapter 677 of the Laws of __?__.

Section 422(4)(A)(o) of the SSL

- Records, Reports and Other Information Are Necessary to
 - Establish and Implement a Plan of Services (Child & Child's Family); or
 - Monitor the Provision and Coordination of Services and Circumstances of Child or Child's Family; or
 - Directly Provide Services.

Section 422(4)(A)(o) of the SSL

- 1985
- Was then Section 422(4)(A)(q) of the SSL
- Effective January 1, 1986

GENERAL RULE

CPS information is confidential pursuant to section 422(4)(A) of the SSL and such information may not be shared with any other person or agency, unless as authorized by law

Section 422(4)(A)(o) of the SSL

- ELEMENTS
 - CPS or DSS referred child or the child's family to the coordinator or provider of services or the child or child's family referred themselves at CPS or DSS request
 - Child has been reported to the SCR; and

Section 422(4)(A)(o) of the SSL

- Redisclosure (Between Provider Agencies)
- Permissible if:
 - Agreement Between DSS and Provider/Coordinator;
 - Agreement Must Specify Agencies to Which Disclosure is Authorized

Section 422(4)(A)(o) of the SSL

- Agreement Reflected in DSS Consolidated Services Plan (Section 34-a of the SSL); and
- Purpose of Disclosure is to Facilitate Provision or Coordination of Services to Child or Child's Family

Section 422(4)(A)(c) of the SSL

- Authorized Agency
 - Responsible for Care or Supervision of Child Reported to SCR.

Section 422(4)(A)(o) of the SSL

- Redisclosure (Intra-Agency)
 - Only Where Employee's Specific Job Responsibilities Cannot Be Accomplished Without Access to Individual Identifiable Information. (18 NYCRR 357.5(g))

Unauthorized Disclosure Criminal Liability

- **Section 422(12) of the SSL** (Class A Misdemeanor) Civil Liability
 - Breach of Contract (DSS)
 - Disciplinary Action (18 NYCRR 466.4(c))
 - Civil Litigation (Tort)

Redisclosure (External)

- Only as Authorized by Section 422(4)(A) of the SSL
 - By Statutory Right to: (For Example) DSS, court, grand jury, DA, law enforcement, etc Section 422(4)(A)(a)-(y) of the SSL
 - By Court Order or Release

Documentation of Reporter/Source Information

- **All CPS staff are required to** enter any identifying information related to contacts with the reporter/source in Investigation Stage Progress Notes only, Other Participant data field Value "reporter/source."

Documentation of Reporter/Source Information

- **All CPS staff are required to** enter any identifying information related to contacts with the reporter/source in Investigation Stage Progress Notes only, Other Participant" data field Value "reporter/source."
- Do NOT include any identifying information regarding the reporter/source, including the institution, organization, etc. with which the person is affiliated, in any narrative field in Safety Assessments, the Risk Assessment Profile, Investigative Findings or Investigative Actions.

Contemporaneous Entry of Information in Progress Notes

- **18 NYCRR 428.5(a)**

- Progress notes must be made as contemporaneously as possible with the occurrence of the event or the receiving of information which is to be recorded.

Documentation

- Identifying information related to reporter/source of a child protective services report must not be included in any Progress Note in the Family Services Stage, or any other narrative portion of the Family Services Intake or Family Services Stage.

Importance of Contemporaneous Entry

- Reliability of the Information
- Enable Supervisors to Monitor (Real Time)
- Staff Turnover
- Legal Issues

Legal Standards

- **Section 422(4)(A) of the SSL**
 - OCFS regulations 18 NYCRR 428.3(h), 428.5(c)(2) and 432.2(b)(3)(ii)(b).2

Legal Issues Preserve and Protect the Admissibility of Case Record into Evidence

- Satisfy Rules of Evidence – Business Record Exception to Hearsay Rule

Business Record Exception
(Section 4518 of the Civil Practice Laws and Rules)

- Made in Regular Course of Business (18 NYCRR 428.5)
- Recorded at Time of Act, Transaction, Occurrence, or Event or Within a Reasonable Time Thereafter.

Roles and Responsibilities

- Having access to CPS information DOES NOT change the tasks, roles, responsibilities or authority of
 - FC/PREV/ADOP staff in a voluntary or contract agency

**What is a
“Reasonable Time Thereafter”?**

- No Statutory Time Period
 - Case Law ---
Up to 15 Calendar Days
After Time of Act, Etc.
 - While the memory of the event is still fresh enough to be fairly reliable

Roles and Responsibilities

- Having access to CPS information DOES NOT change the tasks, roles, responsibilities or authority of
 - FC/PREV/ADOP staff in a voluntary or contract agency
 - FC/PREV/ADOP staff in LDSS

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Roles and Responsibilities

- Having access to CPS information DOES NOT change the tasks, roles, responsibilities or authority of
 - FC/PREV/ADOP staff in a voluntary or contract agency
 - FC/PREV/ADOP staff in LDSS
 - CPS staff.
- Having access to CPS information DOES provide staff in a FC/PREV/ADOP agency with more history about the family, and current information regarding the safety of the children so they can work more effectively with the child and family.

Roles and Responsibilities

- CPS ONLY:
 - Notification of Report
 - Initiation of the Investigation within 24 hours
 - Assessment of the immediate or impending danger of harm related to report and development of safety plan

Roles and Responsibilities

- CPS ONLY:
 - Notification of Report

Roles and Responsibilities

- CPS ONLY:
 - Notification of Report
 - Initiation of the Investigation within 24 hours
 - Assessment of the immediate or impending danger of harm related to report and development of safety plan
 - Documentation of safety within 7 days of report

Roles and Responsibilities

- CPS ONLY:
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 - Assessment of the immediate or impending danger of harm related to report and development of safety plan
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 - Determination of risk of future abuse or neglect and need for services related to this investigation stage

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 - Determination of the report

Roles and Responsibilities

- FC/PREV/ADOP staff:
 - Managing Ongoing Safety Plan

Roles and Responsibilities

- CPS ONLY:
 - Notification of Report
 - Initiation of the Investigation within 24 hours
 - Assessment of the immediate or impending danger of harm related to report and development of safety plan
 - Documentation of safety within 7 days of report
 - Determination of risk of future abuse or neglect and need for services related to this investigation stage
 - Determination of the report
 - Protective Custody

Roles and Responsibilities

- FC/PREV/ADOP staff:
 - Managing Ongoing Safety Plan
 - Visiting Plans

Roles and Responsibilities

- CPS ONLY:
 - Notification of Report
 - Initiation of the Investigation within 24 hours
 - Assessment of the immediate or impending danger of harm related to report and development of safety plan
 - Documentation of safety within 7 days of report
 - Determination of risk of future abuse or neglect and need for services related to this investigation stage
 - Determination of the report
 - Protective Custody
 - Interviewing the children

Roles and Responsibilities

- FC/PREV/ADOP staff:
 - Managing Ongoing Safety Plan
 - Visiting Plans
 - Advocate for the child and family

Roles and Responsibilities

- FC/PREV/ADOP staff:
 - Managing Ongoing Safety Plan
 - Visiting Plans
 - Advocate for the child and family
 - Supporting the Family in response to the CPS report

Roles and Responsibilities

- FC/PREV/ADOP staff:
 - Managing Ongoing Safety Plan
 - Visiting Plans
 - Advocate for the child and family
 - Supporting the Family in response to the CPS report
 - Service Plan Development and coordination
 - Developing permanency plan
 - Change Agent for the Family

Roles and Responsibilities

- FC/PREV/ADOP staff:
 - Managing Ongoing Safety Plan
 - Visiting Plans
 - Advocate for the child and family
 - Supporting the Family in response to the CPS report
 - Service Plan Development and coordination

One for All and All for One

- Preservation of the Family, wherever possible

Roles and Responsibilities

- FC/PREV/ADOP staff:
 - Managing Ongoing Safety Plan
 - Visiting Plans
 - Advocate for the child and family
 - Supporting the Family in response to the CPS report
 - Service Plan Development and coordination
 - Developing permanency plan

One for All and All for One

- Preservation of the Family, wherever possible
- Assisting the family in protecting the child(ren)

One for All and All for One

- Preservation of the Family, wherever possible
- Assisting the family in protecting the child(ren)
- Supporting the family's ability to provide for the health, well-being and permanency of children

What is Accessible?

- "Indicated" and "Under Investigation" Stages effective January 1, 2006

One for All and All for One

- Preservation of the Family, wherever possible
- Assisting the family in protecting the child(ren)
- Supporting the family's ability to provide for the health, well-being and permanency of children
- Identifying resources for the family

What is Accessible?

- "Indicated" and "Under Investigation" Stages effective January 1, 2006
- Event Lists

One for All and All for One

- Preservation of the Family, wherever possible
- Assisting the family in protecting the child(ren)
- Supporting the family's ability to provide for the health, well-being and permanency of children
- Identifying resources for the family
- Ultimately....protecting the children, family and community

What is Accessible?

- "Indicated" and "Under Investigation" Stages effective January 1, 2006
- Event Lists
- The Child Protective Record Summary

What is Accessible?

- “Indicated” and “Under Investigation” Stages effective January 1, 2006
- Event Lists
- The Child Protective Record Summary
 - Safety Assessments

What is Accessible?

- “Indicated” and “Under Investigation” Stages effective January 1, 2006
- Event Lists
- The Child Protective Record Summary
 - Safety Assessments
 - Risk Assessments
 - Investigation Conclusions
 - Case Disposition

What is Accessible?

- “Indicated” and “Under Investigation” Stages effective January 1, 2006
- Event Lists
- The Child Protective Record Summary
 - Safety Assessments
 - Risk Assessments

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- “Indicated” and “Under Investigation” Stages effective January 1, 2006
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 - Investigation Conclusions
 - Case Disposition
 - Progress Notes

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 - Risk Assessments
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What is Accessible?

- “Indicated” and “Under Investigation” Stages effective January 1, 2006
- Event Lists
- The Child Protective Record Summary
 - Safety Assessments
 - Risk Assessments
 - Investigation Conclusions
 - Case Disposition
 - Progress Notes
 - Local District Templates

What is Not Accessible?

- Unfounded Investigation Stages

What is Not Accessible?

- Unfounded Investigation Stages
- Access to Investigation Stages involving Institutional Abuse Reports
- Access to Investigation Stages involving Foster Homes/Day Care Homes Reports
- CPS Intake Stage

What is Not Accessible?

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- Access to Investigation Stages involving Institutional Abuse Reports

What is Not Accessible?

- Unfounded Investigation Stages
- Access to Investigation Stages involving Institutional Abuse Reports
- Access to Investigation Stages involving Foster Homes/Day Care Homes Reports
- CPS Intake Stage
- Ability to Print "Under Investigation" Stages

What is Not Accessible?

- Unfounded Investigation Stages
- Access to Investigation Stages involving Institutional Abuse Reports
- Access to Investigation Stages involving Foster Homes/Day Care Homes Reports

Benefits

- Comprehensive view of family history

Benefits

- Comprehensive view of family history
- Decrease repetitive recounts of potentially traumatic family history by children and family

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- Comprehensive view of family history
- Decrease repetitive recounts of potentially traumatic family history by children and family
- Verifying consistency of information
- Better and more stable placements/visitation
- Identification of appropriate persons as resources to children and family

Benefits

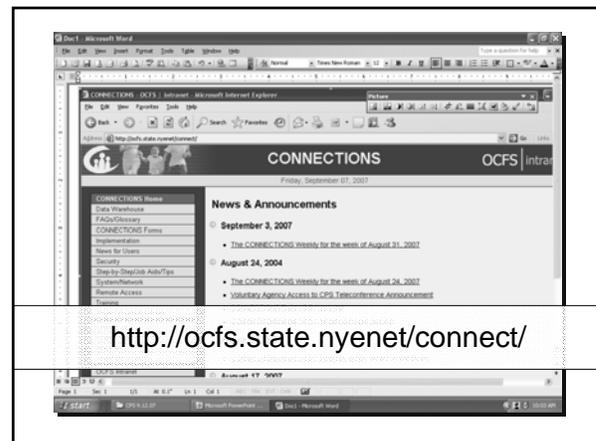
- Comprehensive view of family history
- Decrease repetitive recounts of potentially traumatic family history by children and family
- Verifying consistency of information

Benefits

- Comprehensive view of family history
- Decrease repetitive recounts of potentially traumatic family history by children and family
- Verifying consistency of information
- Better and more stable placements/visitation
- Identification of appropriate persons as resources to children and family
- More effective Safety and Service Plans

Benefits

- Comprehensive view of family history
- Decrease repetitive recounts of potentially traumatic family history by children and family
- Verifying consistency of information
- Better and more stable placements/visitation



CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO INTAKE UNIT PERS CASE RESC STAFF RPTS

Staff To-Do List - Wilson,Darryl

File Edit Options Sort Help

Dates

From: / / To: 09/07/2007 Search

| Type | Status | Date | Case Name | Stage ID | Description |
|------|--------|------------|----------------|----------|---|
| A | | 08/27/2007 | Collins,Kristi | 24191431 | Collins,Patrick is involved in Intake Collin |
| A | | 08/27/2007 | Collins,Kristi | 24191431 | Collins,Kristi is involved in Intake Collins, |

Detail... New Navigate.. Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO WORK UNIT PERS CASE RSRC STAFF RPTS

Assigned Workload - Wilson,Darryl

File Options Sort Reports Help

| ! | Role | Stage Name | County | Zone | Agency | Stage | Type | Start | Assigned | Unit | Stage |
|---|------|----------------|--------|------|--------|-------|------|------------|------------|------|----------|
| | CP | Collins,Kristi | 001 | | M21 | FSS | CWS | 08/27/2007 | 08/27/2007 | 003 | 24191433 |

Tasks... Assign... Accept Reject Refresh Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO WORK UNIT PERS CASE RSRC STAFF RPTS

Assigned Workload - Wilson,Darryl

File Options Sort Reports Help

| ! | Role | Stage Name | County | Zone | Agency | Stage | Type | Start | Assigned | Unit | Stage |
|---|------|----------------|--------|------|--------|-------|------|------------|------------|------|----------|
| | CP | Collins,Kristi | 001 | | M21 | FSS | CWS | 08/27/2007 | 08/27/2007 | 003 | 24191433 |

Tasks... Assign... Accept Reject Refresh Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload - ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO INTAKE UNIT PERS CASE RESRC STAFF RPTS

Assigned Workload - Wilson,Darryl

File Options Sort Reports Help

- Accept
- Reject
- Intake Priority/Closure...
- Case (Stage) Name/CD
- Assign...
- Case To Do's...
- Case Summary...
- Person List...**
- Record Family Services Intake Ctrl+K
- Create Family Services Stage
- Unlink FSS Stage
- Stage Progression...
- Task List...
- Event Search...
- Event List...
- List Assignments Made...
- Workload Filter...
- Refresh

| County | Zone | Agency | Stage | Type | Start | Assigned | Unit | Stage |
|--------|------|--------|-------|------|------------|------------|------|----------|
| 001 | | M21 | FSS | CWS | 08/27/2007 | 08/27/2007 | 003 | 24191433 |

Tasks... Assign... Accept Reject Refresh Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO WORK UNIT PERS CASE RSRC STAFF RPTS

Person List - Collins,Kristi - S:24191433/C:22150678

File Options Forms Reports Help

Case Name: Collins,Kristi Stage: FSS

| Name | M/S | Sch | DOB | T | Sex | Type | Role | Rel/Int | Person ID | Date |
|-----------------|-----|-----|------------|---|-----|------|------|---------|-----------|------|
| Collins,Kristi | | V | 01/01/1963 | A | F | PRN | RS | Mother | 29711371 | 08/2 |
| Collins,Patrick | | V | 01/01/2002 | A | M | PRN | RS | Child | 29711372 | 08/2 |

Detail... New... OK Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO WORK UNIT PERS CASE RSRC STAFF RPTS

Person List - Collins,Kristi - S:24191433/C:22150678

File Options Forms Reports Help

Case Name: Collins,Kristi Stage: FSS

| Name | M/S | Sch | DOB | T | Sex | Type | Role | Rel/Int | Person ID | Date |
|-----------------|-----|-----|------------|---|-----|------|------|---------|-----------|------|
| Collins,Kristi | | V | 01/01/1963 | A | F | PRN | RS | Mother | 29711371 | 08/2 |
| Collins,Patrick | | V | 01/01/2002 | A | M | PRN | RS | Child | 29711372 | 08/2 |

Detail... New... OK Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

Person List - Collins,Kristi - S:24191433/C:22150678

File Options Forms Reports Help

Stage: FSS

| DOB | T | Sex | Type | Role | Rel/Int | Person ID | Date |
|------------|---|-----|------|------|---------|-----------|------|
| 01/01/1963 | A | F | PRN | RS | Mother | 29711371 | 08/2 |
| 01/01/2002 | A | M | PRN | RS | Child | 29711372 | 08/2 |

Case List...

Detail... New... OK Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO MAPS UNIT PERS CASE RESC STAFF RPTS

Case List - Collins,Kristi - P:29711371

File Edit Options Forms Help

| ! | Image | Mrg | Status | Case Name | Case ID | District/Agency | Zone | Case Type | |
|---|-------|-----|--------|-----------------|----------|-----------------|------|-----------|------|
| | | | CLD | Collins,Anthony | 18101949 | ALBANY | | SVC | Burr |
| | | | CLD | Collins,Anthony | 20140059 | ALBANY | | SVC | Burr |
| | | | OPN | Collins,Kristi | 22150678 | ALBANY | | SVC | Get |

Summary Comp Events Case ID: 22150678 Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO WORK UNIT PERS CASE RSRC STAFF RPTS

Case Summary - Collins,Kristi

File Edit Options Reports Help

Case Information

Case ID: 22150678 Case Manager: Getnick,Ken

Status: Open Start Date of Case: 08/27/2007 Dist/Agy: 001

| Mrg | Stage Name | Stage | Type | County | Zone | CD | PGM | Opened | Closed | SEC | |
|-----|----------------|-------|------|--------|------|----|-----|------------|------------|-----|------|
| | Collins,Kristi | FSS | CWS | 001 | | | CPS | 08/27/2007 | / / | | Getr |
| | Collins,Kristi | FSI | CWS | 001 | | | CPS | 08/27/2007 | 08/27/2007 | | Getr |
| | Collins,Kristi | INV | INI | 001 | | | CPS | 08/27/2007 | / / | | Getr |

Events... Assign... Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO UNITS PERS CASE RESC STAFF RPTS

Case Summary - Collins,Kristi

File Edit Options Reports Help

Case Information

Case ID: 22150678

Status: Open

| Mrg | Stage Name | Sta |
|-----|----------------|-----|
| | Collins,Kristi | FSS |
| | Collins,Kristi | FSI |
| | Collins,Kristi | INV |

Events... Assign... Close

CONNECTIONS

 You are accessing a Child Protective Services (CPS) case. Information found in a CPS case, including identifying information regarding the source of the report or the person who made the report is confidential and may only be re-disclosed where authorized by law. If any reporter or source information is disclosed to you, either through your work on the case or in reviewing the case record, you may not re-disclose such information, unless authorized to do so by the written consent of the source or the reporter, by court order or as otherwise authorized by law to do so.

OK

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO UNIT PERS CASE RSRC STAFF RPTS

Case Summary - Collins,Kristi

File Edit Options Reports Help

Case Information

Case ID: 22150678 Case Manager: Getnick,Ken

Status: Open Start Date of Case: 08/27/2007 Dist/Agy: 001

| Mrg | Stage Name | Stage | Type | County | Zone | CD | PGM | Opened | Closed | SEC | |
|-----|----------------|-------|------|--------|------|----|-----|------------|------------|-----|------|
| | Collins,Kristi | FSS | CWS | 001 | | | CPS | 08/27/2007 | 11 | | Getr |
| | Collins,Kristi | FSI | CWS | 001 | | | CPS | 08/27/2007 | 08/27/2007 | | Getr |
| | Collins,Kristi | INV | INI | 001 | | | CPS | 08/27/2007 | 11 | | Getr |

Events... Assign... Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TODD MORGAN UNIT PERS CASE RSRC STAFF RPTS

Event List - Collins,Kristi - S:24191431/C:22150678

File Options Sort Reports Help

| Event Date | TX Date | Status | Type | Description |
|------------|------------|--------|----------------------|---------------------------------|
| 08/27/2007 | 08/27/2007 | PEND | 30-Day CPS Fatality | 30-Day CPS Fatality Report |
| 08/27/2007 | 08/27/2007 | PEND | 24-Hour CPS Fatality | 24-Hour CPS Fatality Report |
| 08/27/2007 | 08/27/2007 | COMP | Summary | Child Protective Record Summary |

Detail... New Add Approver... Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TODD MISC UNIT PERS CASE RSRC STAFF RPTS

Event List - Collins,Kristi - S:24191431/C:22150678

File Options Sort Reports Help

| Event Date | TX Date | Status | Type | Description |
|------------|------------|--------|----------------------|---------------------------------|
| 08/27/2007 | 08/27/2007 | PEND | 30-Day CPS Fatality | 30-Day CPS Fatality Report |
| 08/27/2007 | 08/27/2007 | PEND | 24-Hour CPS Fatality | 24-Hour CPS Fatality Report |
| 08/27/2007 | 08/27/2007 | COMP | Summary | Child Protective Record Summary |

Detail... New Add Approver... Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

Event List - Coll...

File Options Sort

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

Detail...

Child Protective Record Summary

File Help

Case Name: Collins,Kristi INV Stage ID: 24191431 Stage CD: Fatality Report

Case ID: 22150678 Report Date: 8/27/2007

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

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

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

Intake Narrative Help On Narratives Generate Report Close

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO UNITS PERS CASE RSRC STAFF RPTS

Event List - Coll...
File Options Sort

Child Protective Record Summary
File Options Help

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

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

| MA/AB Child | Child Id | Alleged Subject | Subject Id | Allegation | UNSUB/SUB | Stage |
|-----------------|----------|-----------------|------------|----------------------------|-----------|-------|
| Collins,Patrick | 29711372 | Collins,Kristi | 29711371 | Choking/ Twisting/ Shaking | | INT |
| Collins,Patrick | 29711372 | Collins,Kristi | 29711371 | DOA/ Fatality | | INT |

No Injuries Exist For This Allegation

Reporter/Source

Intake Narrative Help On Narratives Generate Report Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO UNIT PERS CASE RSRC STAFF RPTS

Child Protective Record Summary

File Help

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

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

| Response | Action | Comments |
|----------|---|--------------------------|
| | Initiated investigation within 24 hours? | <input type="checkbox"/> |
| | Reviewed previous reports and safety assessments? | <input type="checkbox"/> |
| | Contacted sources? | <input type="checkbox"/> |
| | Consulted office of legal affairs when denied entry to household? | <input type="checkbox"/> |
| | Interviewed each child residing in the household? | <input type="checkbox"/> |
| | Interviewed each subject and each parent? | <input type="checkbox"/> |
| | Explained each allegation to subject(s) and non-subject parent(s) ? | <input type="checkbox"/> |
| | Provided required notifications to all appropriate persons? | <input type="checkbox"/> |
| | Made a home visit? | <input type="checkbox"/> |
| | Contacted schools, medical facilities, and other collaterals? | <input type="checkbox"/> |

Intake Narrative Help On Narratives Generate Report Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

Event List - Coll

File Options Sort

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

Detail...

Child Protective Record Summary

File Options Help

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

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

Investigation Dates

Intake Received: 08/27/2007 Time: 02:03 PM Risk Rating:

Incident Occurred: Time:

Investigation Begun:

Investigation Completed:

Determination: Duplicate Stage ID:

Closure Reason:

High Risk Comments

Fatality - NO Surviving Children

Event List - Coll

File Options Sort

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

Detail...

Child Protective Record Summary

File Options Help

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

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

Investigation Dates

Intake Received: 08/27/2007 Time: 02:03 PM Risk Rating:

Incident Occurred: Time:

Investigation Begun:

Investigation Completed:

Determination: Duplicate Stage ID:

Closure Reason:

High Risk Comments

Fatality - NO Surviving Children

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO UNIT PERS CASE RERC STAFF RPTS

Event List - Coll...
File Options Sort

Child Protective Record Summary
File Options Help

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

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

| Assessment Date | Type | EventTXDate | Status | Decision |
|-----------------|------------------------|-------------|--------|----------|
| 08/28/2007 | Alleged Child Fatality | 08/29/2007 | PROC | |

Detail...

To Do Submit Approval Status New Detail Print

Intake Narrative Help On Narratives Generate Report Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO UNIT PERS CASE RESC STAFF PARTS

Safety Assessment - Collins,Kristi - S:24191431/C:22150678

File Options Help

Date: 8/28/2007 Type: Alleged Child Fatality

Event List - Collins,Kristi

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

Detail...

Safety Factors Mitigating Strengths/Resources Safety Decision Safety Interventions

Assess for the presence of each of the following safety factors. Check all factors that apply.

| Check | Safety Factors |
|-------------------------------------|--|
| <input type="checkbox"/> | Caretaker(s) previously committed or allowed abuse or maltreatment of a child(ren), and the caretaker's prior response to that incident was not commensurate with the severity of the abuse or maltreatment. |
| <input type="checkbox"/> | Caretaker(s) currently abuses alcohol, to the extent that it seriously affects his/her ability to supervise, protect or care for the child(ren). |
| <input type="checkbox"/> | Caretaker(s) currently abuses drugs, to the extent that it seriously affects his/her ability to supervise, protect or care for the child(ren). |
| <input checked="" type="checkbox"/> | Child(ren) has experienced or is likely to experience physical or psychological harm, as a result of domestic violence in the household. |
| <input type="checkbox"/> | No Safety Factors Identified |

Describe the relevant behaviors and/or circumstances:

Spell Check

Please select those factors that place the child(ren) in immediate danger of serious harm.

| Check | Safety Factors |
|--------------------------|--|
| <input type="checkbox"/> | Child(ren) has experienced or is likely to experience physical or psychological harm, as a result of domestic violence in the household. |

Complete? NO Save Save and Submit Cancel

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

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Intake Options Maintain Search Help

TO-DO

UNIT

PERS

CASE

RSRC

STAFF

REPORTS

Safety Assessment - Collins,Kristi - S:24191431/C:22150678

File Options Help

Date: 8/28/2007 Type: Alleged Child Fatality

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

Please identify any family strengths, protecting factors, and/or family, neighborhood or community resources available and describe how they mitigate or address safety concerns for the child(ren).



Detail...

Complete? NO Save Save and Submit Cancel

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

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Intake Options Maintain Search Help

TO-DO UNIT PERS CASE RESC STAFF PARTS

Safety Assessment - Collins,Kristi - S:24191431/C:22150678

File Options Help

Date: 8/28/2007 Type: Alleged Child Fatality

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

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

| Check | Decision |
|-------------------------------------|---|
| <input type="checkbox"/> | 1. No safety factors were identified at this time. Based on currently available information, there are no child(ren) likely to be in immediate danger of serious harm. |
| <input checked="" type="checkbox"/> | 2. One or more safety factors are present, however, these factors do not place a child in immediate danger of serious harm or the existence of family strengths, resources or other mitigating circumstances utilized prior to DSS involvement has effectively removed the threat of immediate danger for the child(ren). |
| <input type="checkbox"/> | 3. One or more safety factors are present, which place a child in immediate danger of serious harm, and controlling safety interventions have been initiated by DSS. Based on the controlling safety interventions, the child(ren) will remain in the home at this time. |
| <input type="checkbox"/> | 4. One or more safety factors are present, which place a child's life or health in imminent danger and removal to foster care or alternative placement (or continued placement) is the only controlling safety intervention possible for one or more of the children. |
| <input type="checkbox"/> | 5. One or more safety factors are present, which place a child in immediate danger of serious harm, but caretaker(s) has refused access to the child or fled, or child's whereabouts are unknown. Appropriate legal/investigative actions are being taken. |

Placement

Complete? NO Save Save and Submit Cancel

Event List - Collins, Kristi

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

Detail...

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

CONNECTIONS UAT Desktop - MetaFrame Presentation Server Client

UAT1 - CONNECTIONS Toolbar - Wilson,Darryl

Intake Options Maintain Search Help

TO-DO UNIT PERS CASE RESC STAFF PARTS

Safety Assessment - Collins,Kristi - S:24191431/C:22150678

File Options Help

Date: 8/28/2007 Type: Alleged Child Fatality

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

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

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

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

Spell Check

Complete? NO Save Save and Submit Cancel

Event List - Collins, Kristi

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

Detail...

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

Event List - Coll

File Options Sort

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

Detail...

Child Protective Record Summary

File Options Help

Case Name: Collins,Kristi INV Stage ID: 24191431 Stage CD: Fatality Report

Case ID: 22150678 Report Date: 8/27/2007

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

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

Secondary Caretaker:

Question 1:

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

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

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

Approval Status Elevated Risk Complete Save and Submit Save Cancel

Intake Narrative Help On Narratives Generate Report Close

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Intake Options Maintain Search Help

TO-DO UNIT PERS CASE RESC STAFF RPTS

Event List - Coll...
File Options Sort

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

Case Name: Col
Case ID: 22

Child Protective Record Summary

Elevated Risk Elements

The Final Risk Rating is based on the presence or absence of the following elevated risk elements. Please fill out each item.

| Elevated Risk Elements | Response |
|--|--|
| Death of a child as a result of abuse or maltreatment by caretaker(s) | <input type="radio"/> Yes <input type="radio"/> No |
| Caretaker(s) has a previous TPR | <input type="radio"/> Yes <input type="radio"/> No |
| Siblings removed from the home, prior to current report, due to abuse or neglect and remain with the substitute caregivers or foster parent | <input type="radio"/> Yes <input type="radio"/> No |
| Repeated incidents of sexual abuse or severe physical abuse by caretaker(s) | <input type="radio"/> Yes <input type="radio"/> No |
| Sexual abuse of a child and perpetrator is likely to have current access to child | <input type="radio"/> Yes <input type="radio"/> No |
| Physical injury to a child under one year old as a result of abuse or maltreatment by caretaker(s) | <input type="radio"/> Yes <input type="radio"/> No |
| Serious physical injury to a child requiring hospitalization/emergency care within the last 6 months, as a result of abuse or maltreatment by caretaker(s) | <input type="radio"/> Yes <input type="radio"/> No |
| Newborn child has a positive toxicology for alcohol or drugs | <input type="radio"/> Yes <input type="radio"/> No |

Please explain the Elevated Risks:

Question 1:
1. Total prior re

| No. | Question |
|-----|------------------------|
| 2 | Child(ren) foster pare |
| 3 | Child(ren) |
| 7 | Caretaker has seriou |
| 8 | Caretaker with risk o |

Approval Status

Spell Check OK Cancel

Cancel Close

Session Transcript UAT1 - CONNECTIONS ... Assigned Workload ...

Event List - Coll

File Options Sort

| Event Date | TX |
|------------|------|
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |
| 08/27/2007 | 08/2 |

| Event Date | Note Status | Type | Method | Location | Participant | Other Participant | Auth |
|------------|-------------|------|--------|----------|-------------|-------------------|------|
| | | | | | | | |

Detail...

Child Protective Record Summary

File Options Help

Case Name: Collins,Kristi INV Stage ID: 24191431 Stage CD: Fatality Report

Case ID: 22150678 Report Date: 8/27/2007

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

Search Progress Notes

From Event Date: 8/28/2007 To Event Date: 8/28/2007 Type: ...

Author: Family Part: Method:

Entered By: Other Part: Purpose:

District/Agency: Focus: Location:

| Event Date | Note Status | Type | Method | Location | Participant | Other Participant | Auth |
|------------|-------------|------|--------|----------|-------------|-------------------|------|
| | | | | | | | |

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Intake Options Maintain Search Help

TO-DO WORK UNIT PERS CASE RSRC STAFF RPTS

Assigned Workload - Wilson,Darryl

File Options Sort Reports Help

| ! | Role | Stage Name | County | Zone | Agency | Stage | Type | Start | Assigned | Unit | Stage |
|---|------|----------------|--------|------|--------|-------|------|------------|------------|------|----------|
| | CP | Collins,Kristi | 001 | | M21 | FSS | CWS | 08/27/2007 | 08/27/2007 | 003 | 24191433 |

Tasks... Assign... Accept Reject Refresh Close

Start Session Transcript UAT1 - CONNECTIONS ... Assigned Workload - ...