

**Table of Contents**

Description	Page
Central Registry .....	1
I. INTRODUCTION .....	1
II. PURPOSE .....	2
III. REPORTING TO THE CENTRAL REGISTRY .....	3
IV. CONFIDENTIALITY OF THE CENTRAL REGISTRY .....	5
V. CENTRAL REGISTRY - DESIGN AND FUNCTION .....	8
VI. DSS-5104 FORM FIELDS AND CODES .....	18
Responsible Individuals List.....	66
I. INTRODUCTION .....	66
II. DEFINITIONS.....	66
III. RESPONSIBLE INDIVIDUALS LIST STATUTE (NCGS § 7B-311) .....	67
IV. OUT-OF-STATE SITUATIONS.....	69
V. JUDICIAL REVIEW .....	70
VI. DSS-5104a FORM COMPLETION: FIELDS AND CODES .....	77

**Central Registry**

**I. INTRODUCTION**

North Carolina General Statute § 7B-311 ([http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_7B/GS\\_7B-311.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B-311.html)) requires the Department of Health and Human Services (DHHS) to maintain a Central Registry of child abuse and neglect cases. DHHS shall also maintain in the Central Registry dependency cases and child fatalities that are the result of alleged maltreatment. This statute makes it mandatory for the director of the county child welfare agency to report to the Central Registry all cases of child abuse, neglect, and/or dependency accepted for CPS Assessment as discussed in Assessments in the [NC Child Welfare manual](#). Because they do not meet the definition of abuse, neglect, and/or dependency, reports not accepted for CPS Assessment are currently exempt from the Central Registry reporting requirement. The statute also requires that reports in the Central Registry be kept confidential under North Carolina Administrative Rule ([10A NCAC 70A .0102](#)).

## II. PURPOSE

The Central Registry is intended to serve the following purposes:

- A. To gather historical and statistical data on children who have been abused, neglected, and/or rendered dependent. As part of a thorough assessment of allegations of abuse, neglect, and/or dependency, county child welfare agencies are required to conduct a search of the Central Registry. Central Registry checks are not necessary when the agency has conducted such a check within the previous 60 days or when the agency is providing continuous Child Protective Services.

Once the county child welfare agency accepts a report for CPS Assessment, each alleged victim child's name must be checked against the Central Registry to determine if any prior reports of abuse, neglect, and/or dependency have been made.

This is important because it provides information that will help the county child welfare worker determine if the allegations represent a pattern of abuse, neglect, and/or dependency. When assessing a family to determine the most appropriate services, the county child welfare worker must consider the history of abuse, neglect, and/or dependency, as well as the present incident or circumstances. The Central Registry can clarify patterns of abuse, neglect, and/or dependency for families who move from county to county within the State. Therefore, the Central Registry may offer additional history not contained in agency records.

- B. To gather historical and statistical data on parents, guardians, caretakers, and custodians identified as being responsible for abuse or serious neglect. This information will be contained in the RIL sub-system. Information from the RIL is available only to authorized persons for the sole purpose of determining current or prospective employability or fitness to care for (foster parent) or adopt children. Access to the Central Registry continues to be limited by North Carolina Laws and Administrative Rule and does not change as a result of the RIL. At no time shall the Central Registry be used for determining employability.

Only individuals identified by the North Carolina Division of Social Services (Division) and county child welfare agencies will have direct access to the RIL.

- C. To gather historical and statistical data regarding child fatalities that result from alleged maltreatment.

The Central Registry sub-system was created to track information on children in North Carolina who died because of abuse, neglect, and/or dependency, regardless of CPS involvement. The Central Registry lists all children identified on the child fatality intake form-- not just the child who died. The Central Registry will identify each child as either a "fatality" or a "survivor". This information is derived from reports made by county child welfare agencies according to the Child Fatality Protocol and entered in the Central Registry by the Division.

The county child welfare agency may accept a report for CPS Assessment when, the parent(s) of the alleged victim had another child who died previously as a result of abuse, neglect, and/or dependency. If the previous fatality occurred prior to the birth of the child currently alleged to be abused, neglected, and/or dependent and there were no other children in the home at the time of the fatality, there would not have been a CPS Assessment.

In this situation, the Central Registry will list the fatality via the child fatality subsystem, if reported to the Division. As a part of a thorough CPS Assessment of the current allegations, the county child welfare agency conducts a Central Registry check, and the names of the children involved in the earlier child fatality are displayed. The agency conducting the CPS Assessment will need to contact the county child welfare agency in the county where the fatality occurred to receive more information.

- D. The gathering of data to enable research to be done on the nature and extent of child abuse, neglect, and dependency and for other appropriate disclosure.
- E. The gathering of data to enable the system to produce statistics and management reports for county child welfare agencies, and for use in making program decisions about protective services from the State.

### **III. REPORTING TO THE CENTRAL REGISTRY**

County child welfare agencies make the required reports to the Central Registry by use of the Report to the Central Registry/CPS Application, Form DSS-5104 (<http://info.dhhs.state.nc.us/olm/forms/dss/dss-5104.pdf>) and the Responsible Individuals List Form, DSS-5104a (<http://info.dhhs.state.nc.us/olm/forms/dss/dss-5104a.pdf>).

Form DSS-5104 is a dual-purpose form.

- A. The DSS-5104 is used as the application for Child Protective Services. It documents the receipt of a report of abuse, neglect, and/or dependency. The original form must be placed in the client's file and is subject to the confidentiality requirements for Child

Protective Services as set forth in North Carolina General Statutes § 7B-302

([http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_7B/GS\\_7B-302.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B-302.html)) and 10A NCAC 70A .0102. A copy of the form must be used for data entry.

- B. On-Line Data Entry allows county child welfare agency staff to enter Central Registry data directly into the system. Data entered by the agency fulfills the statutory responsibility to file a report in the Central Registry on abuse, neglect, and/or dependency reports received and assessed by the agency (NCGS § 7B-311) ([http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_7B/GS\\_7B311.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B311.html)). Data is to be entered within ten working days after a case decision is made as to whether abuse, neglect, and/or dependency is found.

After a CPS Assessment has been completed, a DSS-5104 paper form must be completed, unless direct entry is permitted according to county discretion. Once completed, the information from the form is keyed into the Central Registry System. The DSS-5104 has 41 fields. Fields 1-9 have general information pertaining to the CPS Assessment and must always be completed one per form number.

Fields 10-32 have information pertaining to the victim. The DSS-5104 paper form has space for one victim. If the CPS Assessment has more than one victim, complete fields 10-32 on a DSS-5104c. Complete as many as needed. To enter more than one child, select the F8 key and proceed to enter the information regarding that child.

Each victim must have a copy of a completed DSS-5104 paper form in his or her case record. Although there may be multiple DSS-5104 paper forms for one CPS Assessment, there is only one form number per CPS Assessment. The Central Registry allows for up to 20 victims and 10 perpetrators per DSS-5104. Do not enter multiple children from the same CPS Assessment under different form numbers for the DSS-5104. For additional information on this topic please refer to Assessments in the [NC Child Welfare manual](#).

Fields 33-40 have information pertaining to the perpetrator. The DSS-5104 paper form has space for 2 perpetrators. If the CPS Assessment determines there are more than two perpetrators, a DSS-5104p should be used, but use the same

form number for each sheet. To enter more than one perpetrator select the F8 key and proceed to enter the information regarding that perpetrator.

Once the DSS-5104 paper form has been completed and sent to Data Entry, the information is then entered into the Central Registry. Instructions for completing form DSS-5104 and all accompanying codes are in this section.

The DSS-5104a is used only in cases of substantiated abuse and/or serious neglect when the identified responsible individual is to be placed on the Responsible Individuals List. For information on the use and purpose of the DSS-5104a, refer to [Cross Function Topics](#) in the [NC Child Welfare manual](#).

#### **IV. CONFIDENTIALITY OF THE CENTRAL REGISTRY**

##### **A. LEGAL BASIS**

Information submitted by county child welfare agencies to the Central Registry is confidential (NCGS § 7B-311 [http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_7B/GS\\_7B311.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B311.html)). Non-identifying statistical information and general information about the scope, nature, and extent of the child abuse, neglect, and dependency issue in North Carolina is not subject to this rule of confidentiality. The Division publishes an annual report of statistics which is made available on the Division's web site.

Information submitted by county child welfare agencies to the RIL sub-system of the Central Registry is subject to broader disclosure than the Central Registry (North Carolina General Statute § 7B-311(b) [http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_7B/GS\\_7B311.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B311.html)). Please refer to Responsible Individuals List in [Cross Function Topics](#) for more information.

##### **B. REQUESTS FOR INFORMATION FROM THE CENTRAL REGISTRY**

The release of information from the Central Registry is restricted except as identified below:

1. For guidance on the release of confidential information as it relates to the delivery of services to protect a child(ren), refer to the [NC Child Welfare manual](#) for more about Confidentiality and Release of Information.

2. For guidance on the release of information from the RIL, refer to the [NC Child Welfare manual](#).
3. Although states are required to provide child abuse and neglect information to other states requesting information for the purposes of approving foster and adoptive applications, information from the Central Registry shall not be provided for this purpose. In accordance with North Carolina Administrative Rule ([10A NCAC 70A .0102](#)), the RIL is to be used for this purpose.

### C. ACCESS RESTRICTIONS

Access to the Central Registry is restricted to:

1. Staff of the Division and staff of the Secretary of the Department of Health and Human Services who require access while performing duties pertinent to management, maintenance, and evaluation of the Central Registry and evaluation of and research into abuse, neglect and dependency cases reported in accordance with North Carolina [General Statute § 7B-311](#). Management of the Central Registry includes provision of information on cases to county child welfare agencies. Such information shall be shared to assure that Child Protective Services will be made available to children and families as quickly as possible.
2. The county director in order to identify:
  - a. Whether a child who is the subject of a current CPS Assessment has been previously reported as abused, neglected, and/or dependent;
  - b. Whether a child is a member of a family in which a child fatality has occurred previously and there is suspicion that the death was due to abuse, neglect, and/or dependency;
  - c. Whether an adult suspected of current abuse, neglect, and/or dependency has had previous substantiations for abuse, neglect, and/or dependency; and/or

- d. Whether an adult is appropriate to be a Temporary Safety Provider during a current CPS Assessment.

The Central Registry may only be accessed for use of a Temporary Safety Provider during a current (open) CPS Assessment. Once a case decision has been made, further assessments of relative or fictive kin for placement must request information from the RIL or internal agency records--not the Central Registry.

- 3. When giving or receiving assistance with a case, the county director shall share information from the Central Registry with law enforcement, licensed physicians, or licensed physician extenders when receiving assistance from these professionals, during an open CPS Assessment, to provide Child Protective Services to children and their families in accordance with 10A NCAC 70A .0102. For this purpose, information shared from the Central Registry will be limited to:
  - a. The child's name, date of birth, sex and race
  - b. The county that assessed the report(s)
  - c. The type of maltreatment reported,
  - d. The case decision,
  - e. The date of the case decision,
  - f. The type of maltreatment found, and
  - g. The relationship of the perpetrator to the victim child.
- 4. The Chief Medical Examiner's office and law enforcement, in the event of a child fatality when there is a need to determine if their investigation or evaluation should consider child abuse, neglect, and/or dependency as a factor in the death. Information will be limited to that outlined above in accordance with 10A NCAC 70A .0102.

#### **D. RESEARCH - USING DATA FROM THE CENTRAL REGISTRY**

Individuals may receive approval in accordance with 10A NCAC 70A .0102 to conduct studies and research using data from the Central Registry.

- 1. Such approval must be requested in writing to the Director of the Division of Social Services. The written request will specify and be approved based on:

- a. An explanation of how the findings of the study have potential for expanding knowledge and improving professional practices in the area of prevention and identification of child abuse, neglect, and dependency.
  - b. A description of how the study will be conducted and how the findings will be used.
  - c. A presentation of the individual's credentials in the area of critical investigation.
  - d. A description of how the individual will safeguard information.
2. Access will be denied when, in the judgment of the Director, the study will have minimal impact on either knowledge or practice in accordance with 10A NCAC 70A .0102.

## V. CENTRAL REGISTRY - DESIGN AND FUNCTION

This section is written for the county child welfare worker completing the Report to the Central Registry/CPS Application (DSS-5104) paper form and/or Data Entry staff entering the data from the DSS-5104 paper form into the CPS Central Registry automated state system.

### A. CONFIDENTIALITY

North Carolina [General Statute § 7B-311](#) states that information contained in the Central Registry is confidential. The statute also requires that information in the Central Registry be kept confidential under

North Carolina Administrative Rule ([10A NCAC 70A.0102](#)). Any violations of confidentiality are considered a [Class 3 Misdemeanor](#).

County child welfare agencies have the responsibility for ensuring that unauthorized use is prohibited. For this reason, security procedures have been established. Once access to the Central Registry has been secured, it is the responsibility of each user to maintain confidentiality.



## B. SECURITY

The DHHS and the Information Technology Services (ITS) have implemented the Resource Access Control Facility (RACF) to help protect automated data at ITS. RACF controls overall access to the Division's automated systems which supports programs supervised by the Division. RACF does not replace security already established for individual systems. With RACF, each individual user is identified and verified by a unique ID and a self-assigned password.

Each county security control officer is responsible for assigning generic RACF IDs and passwords provided by the Division's security administrators. Each user then selects an individual password. RACF IDs and passwords are confidential, and all users must sign a memorandum of understanding when assigned security clearance. All users are instructed that RACF IDs and passwords are for "Official Use Only".

Passwords must begin with an alpha character and must be six to eight characters (can be letters, numbers, or a combination of both). A password and RACF ID are revoked if not used in 45 days, entered incorrectly five times in a row, or not changed within the required timeframe (90 days). Should a user's access be revoked, the user must contact the security officer for that county. If a user forgets a password, the county security officer would need to be contacted.

## C. TERMINAL MESSAGES

A CW Listserv has been established to deliver terminal messages via email. Terminal messages are used to communicate system related issues, updates, or changes.

### 1. To Subscribe:

Go to the website <http://lists.ncmail.net/mailman/listinfo/cwlistserv> and complete the registration. An email will be received when access has been approved.

### 2. To Unsubscribe:

Go to the website <http://lists.ncmail.net/mailman/listinfo/cwlistserv> and at the bottom of the page there is an option to unsubscribe.

**D. TURNAROUNDS**

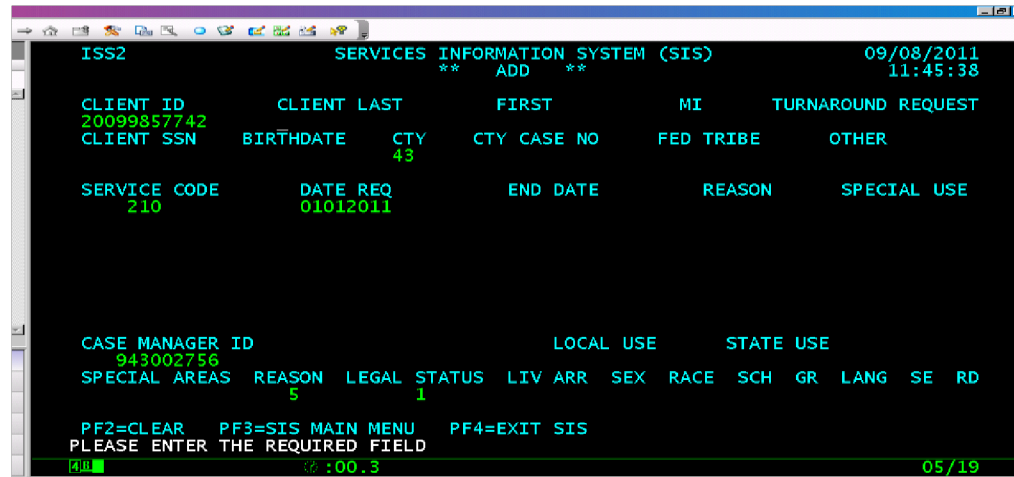
For each DSS-5104 keyed and processed in the nightly update, a DSS-5104 turnaround is automatically created and mailed to the county.

**E. LINK TO SIS AND RIL**

When a CPS report is accepted on a child, the SIS system shall be checked to determine if the child has an existing SIS number in the county receiving the report. If the child has an existing SIS number in the county, do not request a new SIS number. Instead the county child welfare worker is required to update the existing DSS-5027 for that child by opening Service Code 210 (CPS Assessment) and submitting it for data entry.

The county child welfare worker will complete the DSS-5104 at the conclusion of the CPS Assessment. If the child already has a SIS number, items #10 through #19 on the DSS5104 should be left blank, as this information is already in the SIS system. Data entry of the DSS-5104 is required within ten working days after a case decision is made. If the report is "Substantiated" or found "Services Needed" and Service Code 215 (CPS In-Home Services) is to be opened, the county child welfare worker updates the existing DSS-5027 to open Service Code 215 and any other services to be added and to close 210 services.

If the child does not already have a record in the SIS system, a DSS-5027 will have to be completed, as well as the DSS-5104. If the information on federal tribe, language preference, special education status, race and ethnicity declined are not available when keying the new SIS ID number, the DSS-5104 cannot be saved.



Additional services should be added to the DSS-5027 turnaround form as needed.

The DSS-5104 is also associated with the DSS-5104a, the Responsible Individuals List (RIL).

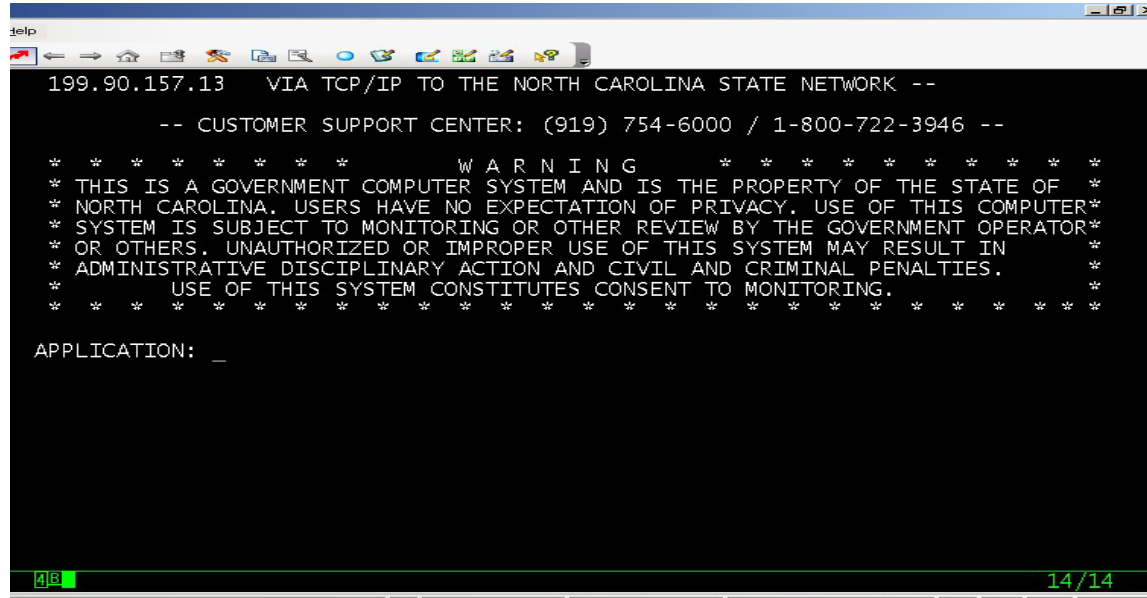
## F. LOGON AND LOGOFF PROCEDURES

### 1. LOGON

From the banner screen that shows the message "IS CONNECTED TO THE

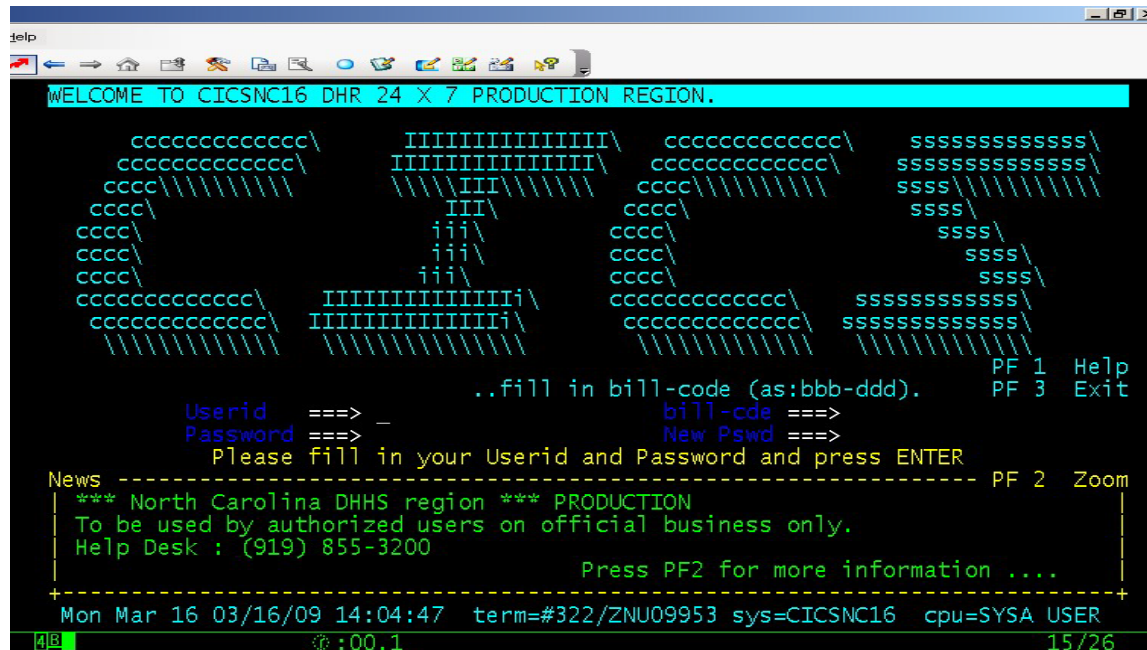
STATE NETWORK," key "CICSNC16" in the application field, and press ENTER.

The next screen will be the CICS sign on screen.



```
199.90.157.13  VIA TCP/IP TO THE NORTH CAROLINA STATE NETWORK --
-- CUSTOMER SUPPORT CENTER: (919) 754-6000 / 1-800-722-3946 --
* * * * * W A R N I N G * * * * *
* THIS IS A GOVERNMENT COMPUTER SYSTEM AND IS THE PROPERTY OF THE STATE OF
* NORTH CAROLINA. USERS HAVE NO EXPECTATION OF PRIVACY. USE OF THIS COMPUTER*
* SYSTEM IS SUBJECT TO MONITORING OR OTHER REVIEW BY THE GOVERNMENT OPERATOR*
* OR OTHERS. UNAUTHORIZED OR IMPROPER USE OF THIS SYSTEM MAY RESULT IN
* ADMINISTRATIVE DISCIPLINARY ACTION AND CIVIL AND CRIMINAL PENALTIES.
* USE OF THIS SYSTEM CONSTITUTES CONSENT TO MONITORING.
* * * * *
APPLICATION: _
```

From the CICS sign on screen enter in the Userid (RACF ID), bill code (bill-code), and password and press ENTER.



```
WELCOME TO CICSNC16 DHR 24 X 7 PRODUCTION REGION.
cccccccccccc\  IIIIIIIIIIIII\  cccccccccccc\  ssssssssssss\
cccccccccccc\  IIIIIIIIIIIII\  cccccccccccc\  ssssssssssss\
cccc\          \  III\          \  cccc\          \  ssss\
cccc\          \  iii\         \  cccc\          \  ssss\
cccc\          \  iii\         \  cccc\          \  ssss\
cccc\          \  iii\         \  cccc\          \  ssss\
cccccccccccc\  IIIIIIIIIIIII\  cccccccccccc\  ssssssssssss\
cccccccccccc\  IIIIIIIIIIIII\  cccccccccccc\  ssssssssssss\
\          \  \          \  \          \  \          \
..fill in bill-code (as:bbb-ddd).  PF 1 Help
Userid   ==> -                bill-cde ==>  PF 3 Exit
Password ==> -                New Pswd ==>
Please fill in your Userid and Password and press ENTER
News ----- PF 2 Zoom
*** North Carolina DHHS region *** PRODUCTION
To be used by authorized users on official business only.
Help Desk : (919) 855-3200
Press PF2 for more information ...
+-----+
Mon Mar 16 03/16/09 14:04:47 term=#322/ZNU09953 sys=CICSNC16 cpu=SYSA USER
```

The next screen will be a blank screen. From this blank screen, key 'sy01' and press ENTER. The following Central Registry Menu will be displayed:

```

SY01  CYA001FM                                DATE: 09/23/2011
                                                TIME: 12:53:47

                STATE OF NORTH CAROLINA
                DEPARTMENT OF HUMAN RESOURCES
                CENTRAL REGISTRY SELECTION MENU

                FUNCTION                                KEY                                SELECTIONS
DSS-5104 ENTRY                                FORM NUMBER                                1
DSS-5104 INQUIRY                                FORM NUMBER                                2
DSS-5104 CHANGES                                FORM NUMBER                                3

VICTIM NAME DISPLAY                                LAST, FIRST, MI                                4
SOUNDEX VICTIM NAME DISPLAY                                LAST, FIRST                                5
PERPETRATOR NAME DISPLAY                                LAST, FIRST, MI                                6

ADMINISTRATIVE MENU                                7
FATALITIES MENU                                    8

RESPONSIBLE INDIVIDUALS LIST MENU                                9

                SELECTION _      KEY

CYA261 - PLEASE MARK A SELECTION.
4B  :00.1 22/37
  
```

**2. LOGOFF**

To logoff, press the "F3" key twice. At the blank screen key in "logoff" and press enter (for return to the main state banner screen).

**G. KEYING FUNCTIONS (F KEYS)**

Once logged into the State system, the following is a list of function keys that are used. The system often displays messages regarding these function keys at the bottom of the screen. Read these messages carefully before proceeding to the next screen.

KEY	FUNCTION
Enter	The system edits the screen and displays messages when an error is found or when the form updates successfully
PF3	To exit the screen and return to the Central Registry Selection menu.

PF7	To scroll back to the previous screen.
PF8	To scroll forward to the next screen (DSS-5104c and DSS-5104p)
PF9	To add/update when displayed on the screen being keyed.
PF10	To cancel data keyed on a current screen

**H. CENTRAL REGISTRY MAIN MENU**

**1. DSS-5104 INITIAL ENTRY**

To enter information on a new DSS-5104 key in “1” in the selection field and press ENTER. The system will not generate a form id number until the entire form has been keyed. The next screen will show a blank DSS-5104 and information can be entered and saved.

**2. DSS-5104 INQUIRY**

The inquiry function allows users to view previously keyed DSS-5104s. To view the DSS-5104, key “2”, as the selection and key in the form number and press enter. This will display the DSS-5104. Since this is an inquiry, changes will not be allowed.

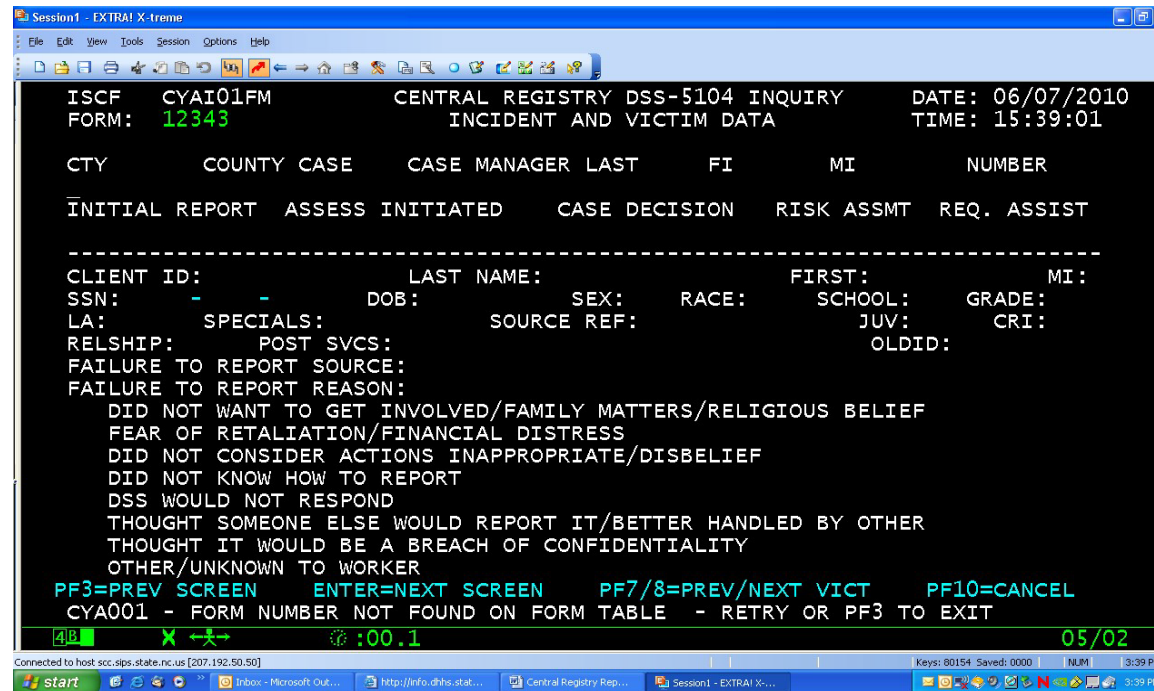
**3. DSS-5104 CHANGES**

When making changes to the DSS-5104, each change (and reason) should be thoroughly documented, along with the appropriate authorization by the county child welfare agency director or his or her designee, as indicated, in the child's file. The corrected paper DSS-5104 form should be placed in the child's file.

From the Central Registry Selection Menu, key “3” as the selection then key the form number to be corrected. This will display the DSS-5104 screen. This screen allows data entry staff to make the appropriate changes.

There are certain fields that are protected, and information cannot be re-keyed. These fields are highlighted when this occurs. In most cases, the cursor does not stop in these fields. If information is attempted to be keyed in a protected field, the system displays the “Not Allowed” symbol in the lower left corner of the screen.

This symbol is an “X” next to a stick figure with arrows, seen below. To remove this error symbol, press the ESC key.



#### 4. DSS-5104 DELETIONS

If a DSS-5104 has been entered with an error, the form must be deleted. To request that a DSS-5104 be deleted from the state system a written request must be submitted to the Division via the DSS-5104d. Requests must be submitted to:

NC Division of Social Services  
Performance Management, Reporting and Evaluation Section

820 S. Boylan Ave

2415 Mail Service Center

Raleigh, NC 27699-2415

Or by fax to (919) 334-1052.

Appropriate deletion requests include:

- a.** Incorrectly entered each child on a separate DSS-5104 and need to be combined onto one form,
- b.** Entered children on form that were not a part of the CPS Assessment,
- c.** Child's SIS ID number is incorrect, and it cannot be corrected by doing a SIS ID Merge, or
- d.** Duplicate entry (entered DSS-5104 multiple times)

**5. VICTIM NAME DISPLAY/SOUNDEX VICTIM NAME DISPLAY (SEARCH)**

**a. VICTIM NAME DISPLAY**

This option is used to search to see if a child has had a DSS-5104 entered as a result of prior reports. Key a "4" in the selection field and then in the "key" field enter the last name and the first name separated by a comma and a space after the comma, then enter. Only exact matches to the name entered will be displayed.

It is also possible to search for a child using the "\*" (wildcard) option. To do so, key in as many letters of the last name as possible, followed by an "\*", and then as many letters of the first name as possible followed by an "\*". This option locates all children whose names contain the letters keyed. For example, if searching for John Doe, but unsure of the spelling of the name, key in "Do\*, Jo\*" and all children whose first names begin with "Jo" and last names begin with "Do" will be listed.

To view the record of a name that is displayed, key an "I" next to the name, press F9 to see the perpetrator information of the Central Registry.



**b. SOUNDEX VICTIM NAME DISPLAY**

This option is used to search to see if a child has a previous DSS-5104 entered because of a prior report. Key a “5” in the selection field and the name in the “key” field, then enter. Note that the last and first name are to be separated by a comma and a space after the comma. For this option, the child’s last name and at least the first letter of the first name is needed. This option will display all names that match and are similar to the name entered.

**6. PERPETRATOR NAME DISPLAY (SEARCH)**

This option is used to search to see if an alleged perpetrator already exists in the Central Registry as a result of a prior report. Key a “6” in the selection field and in the “key” field enter the last name, first name of the alleged perpetrator. Note that the last and first name are to be separated by a comma and a space after the comma.

The search results will only return results that have an exact match.

To view the record of a name that is displayed, key an “1” next to the name, then F9 to see the perpetrator information of the Central Registry.

**7. ADMINISTRATIVE MENU**

From the Central Registry Selection menu, key “7” in the selection field. Press ENTER. This menu is available only for the State Administrator.

**8. FATALITIES MENU**

From the Central Registry Selection menu, key “8” in the selection field. Press ENTER. This menu is available only for State staff.

**9. RIL MENU**

This option is used to access the RIL menu. From the Central Registry Selection menu, key “9” in the selection field. Press ENTER. For more information please see Responsible Individuals List in [Cross Function Topics](#).

**VI. DSS-5104 FORM FIELDS AND CODES**

Unless otherwise noted, to have the information that is keyed from a DSS-5104 entered in the system, press enter.

**FIELD 1 - COUNTY NAME**

**[ENTRY REQUIRED]**

Enter the two-digit code that identifies the county conducting the CPS Assessment. In cases where there is a partner county child welfare agency assisting with the CPS Assessment, the resident county child welfare agency is responsible for completing the DSS-5104. The resident county child welfare agency's two-digit county code is to be entered.

**NC DSS  
CPS Data Collection (Non-NC FAST)  
Appendix 1**

January 2024

Co. #	Co. Name	Co. #	Co. Name	Co. #	Co. Name	Co.#	Co. Name
01	Alamance	26	Cumberland	51	Johnston	76	Randolph
02	Alexander	27	Currituck	52	Jones	77	Richmond
03	Alleghany	28	Dare	53	Lee	78	Robeson
04	Anson	29	Davidson	54	Lenoir	79	Rockingham
05	Ashe	30	Davie	55	Lincoln	80	Rowan
06	Avery	31	Duplin	56	Macon	81	Rutherford
07	Beaufort	32	Durham	57	Madison	82	Sampson
08	Bertie	33	Edgecombe	58	Martin	83	Scotland
09	Bladen	34	Forsyth	59	McDowell	84	Stanly
10	Brunswick	35	Franklin	60	Mecklenburg	85	Stokes
11	Buncombe	36	Gaston	61	Mitchell	86	Surry
12	Burke	37	Gates	62	Montgomery	87	Swain
13	Cabarrus	38	Graham	63	Moore	88	Transylvania
14	Caldwell	39	Granville	64	Nash	89	Tyrrell
15	Camden	40	Greene	65	New Hanover	90	Union
16	Carteret	41	Guilford	66	Northampton	91	Vance
17	Caswell	42	Halifax	67	Onslow	92	Wake
18	Catawba	43	Harnett	68	Orange	93	Warren
19	Chatham	44	Haywood	69	Pamlico	94	Washington
20	Cherokee	45	Henderson	70	Pasquotank	95	Watauga
21	Chowan	46	Hertford	71	Pender	96	Wayne
22	Clay	47	Hoke	72	Perquimans	97	Wilkes
23	Cleveland	48	Hyde	73	Person	98	Wilson
24	Columbus	49	Iredell	74	Pitt	99	Yadkin
25	Craven	50	Jackson	75	Polk	00	Yancey

**FIELD 2 - COUNTY CASE NUMBER**

**[ENTRY REQUIRED]**

Enter the county's Child Protective Services case number: up to 6 numeric digits.

**FIELD 3 - CASE MANAGER NAME**

**[ENTRY REQUIRED IF APPLICABLE]**

Entry is not required if a valid county child welfare worker case manager number from FIELD 4 is entered. Otherwise enter the last name, first initial, and middle initial of the case manager.

**FIELD 4 - CASE MANAGER NUMBER**

**[ENTRY REQUIRED]**

Enter the county case manager/worker ID number (up to 9 numeric digits).

**FIELD 5 - DATE OF INITIAL REPORT**

**[ENTRY REQUIRED]**

Enter the month, day, and year. Use a leading zero for any month or day less than ten that the report of abuse/neglect/dependency was made to the county child welfare agency in the format of MMDDYYYY. If subsequent reports are received before the completion of the CPS Assessment, enter the date of the first report that led to the opening of the CPS Assessment.

**FIELD 6 - DATE CPS ASSESSMENT INITIATED**

**[ENTRY REQUIRED]**

Enter the month, day, and year (use a leading zero for any month or day less than ten) that the CPS Assessment was initiated in the format of MMDDYYYY.

**FIELD 6A – DILIGENT EFFORT REASON**

**[ENTRY REQUIRED]**

Enter a one-digit code indicating if the CPS assessment initiation is timely or untimely.

<b>CODE</b>	<b>DEFINITION</b>
<b>0</b>	<b>Timely Assessment</b>
<b>1</b>	<b>Unable to Initiate Timely Despite Daily Diligent Efforts, through a variety of methods</b>
<b>2</b>	<b>Unable to Initiate Timely, Diligent Efforts not met</b>
<b>3</b>	<b>Unable to Initiate Timely Despite Daily Diligent Efforts, due to family out of State</b>
<b>4</b>	<b>Unable to Initiate Timely Due to Natural Disaster</b>

**FIELD 7 - DATE CASE DECISION**

**[ENTRY REQUIRED]**

Enter the month, day, and year [use a leading zero for any month or day less than ten] that the CPS Assessment was completed in the format MMDDYYYY.

All information gathered during the CPS Assessment process shall be incorporated into one case decision and one DSS-5104. If more than one DSS-5104 is entered per CPS Assessment, this will impact the identification of repeat maltreatment.

Even if there are multiple children, multiple perpetrators, and/or multiple maltreatment types, submit the information into the Central Registry under only one DSS-5104 Form Number.

Information entered in Fields 5, 6, and 7 is relevant to safety outcomes, the timeliness of initiating CPS Assessments of reports of child maltreatment and repeat maltreatment.

**FIELD 8 - RISK ASSESSMENT RATING**

**[ENTRY REQUIRED]**

Enter the one-digit code indicating the over-all risk rating as determined by the Family Risk Assessment (DSS-5230, <http://info.dhhs.state.nc.us/olm/forms/dss/DSS-5230-ia.pdf>) for each case. A Family Risk Assessment is not required for a case involving group home or institutional settings, in which case select "N/A" on the DSS-5104.

<b>CODE</b>	<b>DEFINITION</b>
L	Low
M	Medium
H	High
N	Not Applicable

**FIELD 9 - REQUEST FOR ASSISTANCE**

**[ENTRY REQUIRED IF APPLICABLE]**

Enter the two-digit numeric code that corresponds to the county that provided assistance during the CPS Assessment. Up to three county codes may be entered. Refer to Field 1 for a listing of the county codes.

**FIELD 10 - CHILD ID**

**[ENTRY REQUIRED]**

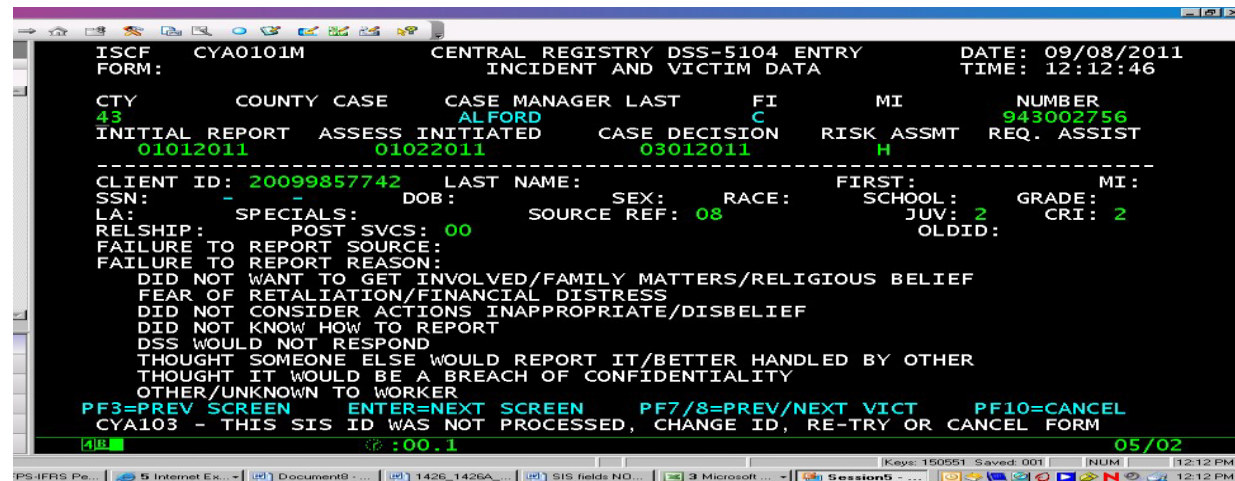
If the alleged victim child already has a SIS number, enter the current SIS Client ID on the form. If, following the completion of a name search, the alleged victim child does not already have a SIS number, obtain a new SIS Client ID and enter it on the form.

**FIELD 11 - CHILD NAME**

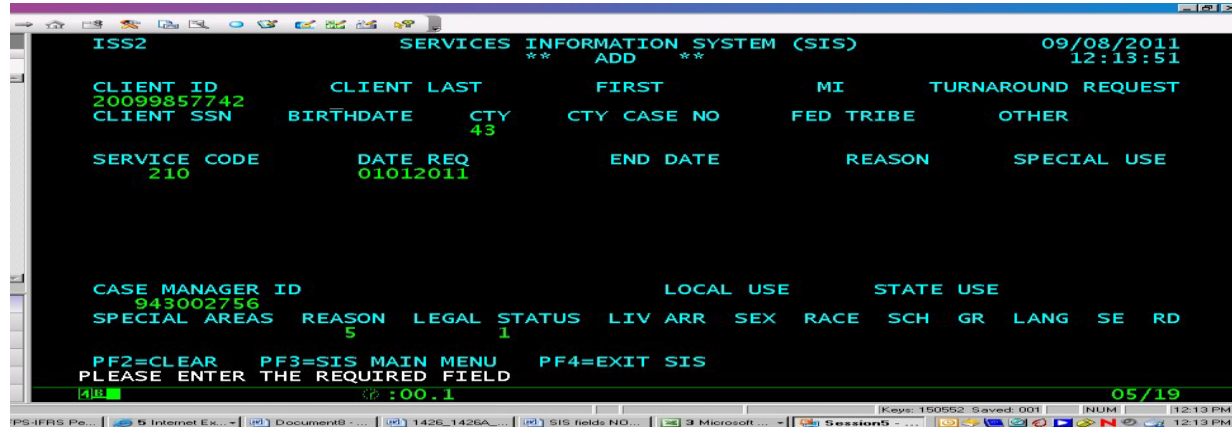
**[ENTRY REQUIRED]**

If the alleged victim child already has a SIS number, enter the last name, first name, and middle initial as it appears in the SIS system. This name will be verified at data entry when the SIS Client ID is keyed.

If, following the completion of a name search, the alleged victim child does not already have a SIS number, the user will be automatically redirected to the SIS screen. When the user has typed in information shown in the screen show below and presses "ENTER",



The user will be redirected to the SIS system to complete additional required fields to establish this child's SIS record.



If the child does not already have a SIS number, enter the following fields in SIS--NOT Central Registry: Last Name, First Name, Middle Initial, Social Security Number, Date of Birth, Sex, Race, Ethnicity, School, Grade, Language, and Specials.

For the child involved in a Safe Surrender, enter the last name as SURRENDER, the first name as SAFE COUNTY NAME. (Example: SURRENDER, SAFE ALAMANCE) Once a legal name has been obtained, update the DSS-5027 to update SIS. For additional information on Safe Surrender policy, refer to the [NC Child Welfare manual](#).

**FIELD 12 - CHILD SOCIAL SECURITY NUMBER**

**[ENTRY REQUIRED]**

If the alleged victim child already has a SIS number, leave blank, this will be populated by information in SIS. If, following the completion of a name search, the child does not have a SIS number, enter the following Fields in SIS, not Central Registry: Last Name, First Name, MI, SSN, DOB, Sex, Race, Ethnicity, School, Grade, LA, and Specials.

If the child does not have a Social Security Number or if the number is unknown, enter all "0s". Once the victim child's Social Security Number has been attained, complete a DSS-5027 to update the Social Security Number in the SIS system.

**FIELD 13 - DATE OF BIRTH**

**[ENTRY REQUIRED]**

If the alleged victim child already has a SIS number, leave blank. This will be populated by information in SIS. If, following the completion of a name search, the child does not have a SIS number, enter the following Fields in SIS, NOT Central Registry: Last

Name, First Name, Middle Initial, Social Security Number, Date of Birth, Sex, Race, Ethnicity, School, Grade, Language, and Specials.  
Enter the month, day, and year. [Use a leading zero for any month or day less than ten] in the format MMDDYYYY.

**FIELD 14 - SEX**

**[ENTRY REQUIRED]**

If the alleged victim child already has a SIS number, leave blank. This will be populated by information in SIS. If, following the completion of a name search, the child does not have a SIS number, enter the following Fields in SIS, NOT Central Registry: Last Name, First Name, Middle Initial, Social Security Number, Date of Birth, Sex, Race, Ethnicity, School, Grade, Language, and Specials.

<b>CODE</b>	<b>DEFINITION</b>
1	Male
2	Female
3	Gender Non-Conforming

**FIELD 15 - RACE/ETHNICITY**

**[ENTRY REQUIRED]**

If the alleged victim child already has a SIS number, leave blank. This will be populated by information in SIS. If, following the completion of a name search, the alleged victim child does not have a SIS number, enter the following Fields in SIS, not Central Registry: Last Name, First Name, Middle Initial, Social Security Number, Date of Birth, Sex, Race, Ethnicity, School, Grade, Language, and Specials.

Assumptions or guesses shall not be made regarding a child’s race and ethnicity based on appearances. Rather, it is critical that the county child welfare agency engages the family in a discussion around the child’s race and ethnicity that the family most identifies for the child. If such a discussion is not able to take place, the agency shall use code “11” – Unable to Determine.

For the Safe Surrender child, if no parent is available to indicate the race and ethnicity use code “11” or “12”– Unable to Determine.



**NC DSS  
CPS Data Collection (Non-NC FAST)  
Appendix 1**

January 2024

<b>CODE</b>	<b>DEFINITION</b>
01	White Native (Non-Hispanic or Latino)
02	White (Hispanic or Latino)
03	Black (Non-Hispanic or Latino)
04	Black (Hispanic or Latino)
05	American Indian or Alaskan Native (Non-Hispanic or Latino)
06	American Indian or Alaskan Native (Hispanic or Latino)
07	Asian (Non-Hispanic or Latino)
08	Asian (Hispanic or Latino)
09	Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
10	Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
11	Unable to Determine (Non-Hispanic or Latino)
12	Unable to Determine (Hispanic)
13	White/Black (Non-Hispanic or Latino)
14	White/Black (Hispanic or Latino)
15	White/American Indian or Alaskan Native (Non-Hispanic or Latino)
16	White/American Indian or Alaskan Native (Hispanic or Latino)
17	White/Asian (Non-Hispanic or Latino)
18	White/Asian (Hispanic or Latino)
19	White/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
20	White/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
21	Black/American Indian or Alaskan Native (Non-Hispanic or Latino)
22	Black/American Indian or Alaskan Native (Hispanic or Latino)
23	Black/Asian (Non-Hispanic or Latino)
24	Black/Asian (Hispanic or Latino)
25	Black Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
26	Black/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
27	American Indian or Alaskan Native/Asian (Non-Hispanic or Latino)
28	American Indian or Alaskan Native/Asian (Hispanic or Latino)

CODE	DEFINITION
29	American Indian or Alaskan Native/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
30	American Indian or Alaskan Native/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
31	Asian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
32	Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
33	White/Black/American Indian or Alaskan Native (Non-Hispanic or Latino)
34	White/Black/American Indian or Alaskan Native (Hispanic or Latino)
35	White/Black/Asian (Non-Hispanic or Latino)
36	White/Black/Asian (Hispanic or Latino)
37	White/Black/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
38	White/Black/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
39	White/American Indian or Alaskan Native/Asian (Non-Hispanic or Latino)
40	White/American Indian or Alaskan Native/Asian (Hispanic or Latino)
41	White/American Indian or Alaskan Native/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
42	White/American Indian or Alaskan Native/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
43	White/Asian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
44	White/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
45	Black/American Indian or Alaskan Native/Asian (Non-Hispanic or Latino)
46	Black/American Indian or Alaskan Native/Asian (Hispanic or Latino)
47	Black/American Indian or Alaskan Native/Native Hawaiian (Non-Hispanic or Latino)
48	Black/American Indian or Alaskan Native/Native Hawaiian (Hispanic or Latino)
49	Black/Asian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
50	Black/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
51	American Indian/Asian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)

CODE	DEFINITION
52	American Indian/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
53	White/Black/American Indian/Asian (Non-Hispanic or Latino)
54	White/Black/American Indian/Asian (Hispanic or Latino)
55	White/Black/American Indian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
56	White/Black/American Indian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
57	White/Black/Asian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
58	White/Black/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
59	White/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
60	White/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
61	Black/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
62	Black/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
63	White/Black/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Non-Hispanic or Latino)
64	White/Black/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)

**FIELD 16 IN SCHOOL**

**[ENTRY REQUIRED IF APPLICABLE]**

If the alleged victim child already has a SIS number, leave this field blank. This will be populated by information in SIS. This field may need to be updated with the alleged victim child’s current status. If so, update this field in SIS.

If, following the completion of a name search, enter the following Fields in SIS, not Central Registry: Last Name, First Name, Middle Initial, Social Security Number, Date of Birth, Sex, Race, Ethnicity, School, Grade, Language, and Specials.

<b>CODE</b>	<b>DEFINITION</b>
P	Yes – child is enrolled in a public school.
R	Yes – child is enrolled in a private school.
H	Yes – child is enrolled in home school.
N	No – child is not enrolled in school.

**FIELD 17 - GRADE**

**[ENTRY REQUIRED IF APPLICABLE]**

If the alleged victim child already has a SIS number, leave blank. This field will be populated by information in SIS. This field may need to be updated with the alleged victim child’s current status in the SIS system.

If, following the completion of a name search, enter the following Fields in SIS, not Central Registry: Last Name, First Name, Middle Initial, Social Security Number, Date of Birth, Sex, Race, Ethnicity, School, Grade, Language, and Specials.

<b>CODE</b>	<b>DEFINITION</b>
P	Preschool
01-20	To identify either the highest grade attained if the individual is no longer in school, or the last grade attended or the current grade if the individual is still in school.
98	GED Status
99	Unknown

**FIELD 18 LIVING ARRANGEMENT**

**[ENTRY REQUIRED IF APPLICABLE]**

If the alleged victim child already has a SIS number, leave blank. This will be populated by information in SIS. For the safe surrender child, enter code “99 – Unknown.”

If, following the completion of a name search, the alleged victim child does not have a SIS number, continued entry will be re-directed to the SIS system to create a SIS ID for the child.

CODE	DEFINITION
01	Living Alone - An independent living arrangement where the individual resides either alone, or with others where the relationship is not characterized by intimacy, continuity or commitment, as in a rooming house or shared housing.
02	Living with Family or Other Significant Individual(s) - A home occupied by two or more people who are related by blood, marriage, adoption or who have a commitment to care for one another.
03	Family Care Home - A licensed domiciliary home having a capacity of two to six residents.
04	Home for the Aged- A licensed domiciliary home has a capacity of seven or more residents.
05	Group Home for Developmentally Disabled Adults - A licensed DDS group home housing residents with developmental disability, regardless of which county/state agency has licensing monitoring or certification responsibilities.
06	Nursing/Combination Home - A licensing facility which provides nursing or convalescent care for three or more persons.
07	Treatment/Rehabilitation Facility/Home - A 24-hour facility/home which provides treatment or rehabilitation, services for medical, psychosocial, or psychiatric needs (e.g. medical or psychiatric hospital, State Mental Retardation Center, mental health group home for persons with mental illness). Not included in this definition are nursing homes, maternity homes, and group homes for developmentally disabled adults.
08	Maternity Home - A 24-hour residential program whose primary purpose is to provide care, support and other services for pregnant females.
09	Jail, Lockup, Detention - A jail or a facility administered by the Department of Corrections or Division of Youth Services.
10	Battered Women's Shelter - A 24-hour residential program whose primary purpose is to offer protection, food, shelter, support and other services to battered women and their children.

CODE	DEFINITION
11	Shelter for the Homeless - An overnight shelter for people without homes.
97	Child Placement System (DSS-5094 <a href="http://info.dhhs.state.nc.us/olm/forms/dss/dss5094.pdf">http://info.dhhs.state.nc.us/olm/forms/dss/dss5094.pdf</a> ) - When the client is a child for whom the county child welfare agency has custody or placement authority, the living arrangement will be tracked through the Child Placement and Payment System. This code should remain unchanged in this system for as long as the DSS-5094 record remains open. If the client remains a service client after the DSS-5094 record is closed, this field will have to be updated on the DSS-5027 to reflect the actual living arrangement.
98	Other - A living arrangement which is known to the agency but does not fit the above definitions.
99	Unknown

**FIELD 19 SPECIAL AREAS**

**[ENTRY REQUIRED IF APPLICABLE]**

If the alleged victim child already has a SIS number, leave blank. This will be populated by information in SIS.

If, following the completion of a name search, the alleged victim child does not have a SIS number, enter the following Fields in SIS, not Central Registry: Last Name, First Name, Middle Initial, Social Security Number, Date of Birth, Sex, Race, Ethnicity, School, Grade, Language, and Specials.

For more information on this field please refer to the Services Information System (SIS) Manual (<http://info.dhhs.state.nc.us/olm/manuals/dss/rim-01/man/>).

CODE	DEFINITION
01	Developmental Disabilities- Having a severe, chronic mental or physical disability resulting in substantial limitations in three or more of the following areas of major life activity: self-care, receptive and expressive language, capacity for independent living, learning, mobility, self-direction, and economic self-sufficiency and reflecting the person’s need for a combination of special inter-disciplinary care or treatment of a lifelong or extended duration, manifested before age 22, unless caused by a head injury.

02	Blind or Visually Impaired- Having visual impairment that, in the child welfare worker's judgment, may significantly affect day-to-day functioning.
03	Deaf or Hard of Hearing- Having a hearing impairment, whether permanent or fluctuating which may in the child welfare worker's judgment, adversely affect day-to-day functioning, a communication disorder such as stuttering, impaired articulator, or language impairment that adversely affects functioning.
04	Physically Disabled- Having a physical condition that may, in the child welfare worker's judgment, adversely affect the individual's day-to-day or intermittent functioning.
05	Emotionally Disturbed- Having mental or emotional problems exhibited in a wide range of important social and personal contexts and causing significant impairment in social, educational, or occupational functioning.
06	Learning Disability- Having a disorder in one or more of the basic psychological processes involved in understanding or using language, spoken or written, that may manifest itself in an imperfect ability to listen, think, speak, read, write, spell or to use mathematical calculations. An example of a learning disability would be dyslexia.
07	Medical Condition- Having any apparently disabling physical condition other than those listed above which has been diagnosed by a licensed physician and requires medical attention.
08	HIV and AIDS- Having a syndrome, or a disease complex in which the natural immune system is suppressed so significantly those individuals gradually die from vulnerability to a variety of unusual infections and concerns (opportunistic infections) that would not ordinarily pose a threat to an immunologically healthy person.
09	Substance Abuse- Using alcohol or other drugs to a degree which creates a risk of harm to self or others, or impairs social, educational or occupational functioning.
<b>CODE</b>	<b>DEFINITION</b>
11	Undisciplined Child- A child who is an adjudicated undisciplined child under N.C.G.S. § 7B-1501(27) <a href="http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B-1501.html">http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B-1501.html</a> .
12	Delinquent Child- A child who is an adjudicated delinquent child under N.C.G.S. § 7B-1501(7).

13	Homeless Person- A person who does not have what society defines as a normal place of his/her own to live.
14	Alzheimer's Disease and Related Dementias- Having an organic mental disorder, in which intellectual function is progressively impaired in a previously well adult, usually accompanied by memory loss, disorientation, impaired judgment, and personality change.

**FIELD 20 - SOURCE OF REFERRAL**

**[ENTRY REQUIRED]**

Enter the two-digit code for the source of referral. There are spaces for up to three sources of referral to allow for subsequent reports that may come in during the CPS Assessment. If more than one source of referral is listed, list the initial source first and the subsequent sources in order of receipt.

<b>CODE</b>	<b>DEFINITION</b>
01	Anonymous - An anonymous reporter is a person who deliberately chooses to remain unknown.
02	Child Care Provider - This category includes baby sitters, personnel in day care arrangements, and head start center personnel.
03	Educational Personnel - This category includes teachers, principals, school nurses, learning aides, school librarians, or other individuals who report the maltreatment as a result of their involvement in a school setting.
04	Law Enforcement or Court Personnel - This category includes police, courts, attorneys, parole and probation officers, and sheriff's deputies.
05	Medical Personnel - This category includes private physicians, clinic or hospital physicians, dentists, emergency room personnel, nurses, X-ray technicians, and the staff of a physician in private practice, optometrists, and paramedics
06	Relative - A member of the child and/or caretaker's immediate or extended family who is not covered by another category.
07	Non-Relative - A person not related to the child's family or to the child (i.e. friend, neighbor, and foster parent).



CODE	DEFINITION
08	Human Service Personnel – This category includes child welfare workers, social workers, mental health workers (psychiatrist, psychologist, psychiatric or clinical social workers), and the staff of social services agencies and institutions.
09	Victim – The child who is alleged to be neglected and/or abused.
10	Parent – The biological, adoptive, or stepparent of the child.

**FIELD 20A – NEAR FATALITIES**

**[ENTRY REQUIRED]**

Enter the appropriate code if at least one source of referral is Medical Personnel and has at least one contributory factor as Child – Other Medical Condition from Field 27.

CODE	DEFINITION
Y	Yes
N	No

**FIELD 21 - PETITION FILED WITH JUVENILE COURT [ENTRY REQUIRED IF APPLICABLE]**

Enter the appropriate two-digit code if a petition has been filed in juvenile court in relation to the situation of abuse, neglect, and/or dependency.

CODE	DEFINITION
1	Yes
2	No

**FIELD 22 - CRIMINAL CHARGES FILE**

**[ENTRY REQUIRED IF APPLICABLE]**

Enter the appropriate two-digit code if criminal charges related to the reported abuse and/or neglect has been filed.

CODE	DEFINITION
1	Yes
2	No

**FIELD 23 - PERPETRATOR RELATIONSHIP CODE**

**[ENTRY REQUIRED FOR SUBSTANTIATED CASES ONLY]**

This field is used to show the sex of the perpetrator and his or her relationship to the victim. Although more than one perpetrator in Field 33 can be entered, for the purposes of Field 23 only one Perpetrator Relationship Code can be entered. If there is more than one perpetrator for the given victim, list the perpetrator code that defines the relationship of the perpetrator who had the most responsibility for action causing the greatest harm or risk of harm to the child. Do not enter more than one DSS-5104 form number for multiple perpetrators. Codes beginning with the number one indicate a female relationship to the child. Codes beginning with the number two indicate a male relationship to the child.

FEMALE	MALE	DEFINITION
10	20	Natural Parent – Biological mother or father of the child.
11	21	Adoptive Parent – Parent who is not the child’s natural parent but who has completed the legal procedures for adoption of the child.
12	22	Stepparent – Father’s spouse or mother’s spouse, when the spouse is not the natural parent, and when the stepparent has not adopted the child.
13	23	Foster Parent – An individual who lives in a private residence and who is licensed by the Division of Social Services to provide continuing, full-time 24-hour foster care or therapeutic care to children.
14	24	Grandparent – A parent of the child’s mother or father.
15	25	Step Grandparent – A parent of the child’s stepfather or stepmother.

16	26	Other Relatives – A relative other than parents or grandparents (aunts, uncles, cousins, nieces, siblings, nephews, etc.).
<b>FEMALE</b>	<b>MALE</b>	<b>DEFINITION</b>
17	27	Employee of an Institution/Group Home – An institution/group home is any public or private agency, group, organization, corporation or partnership employing, directing, assisting, or providing its facilities to persons who, as a part of their association with the institution, give 24-hour residential care and services to children less than 18 years of age. An employee of Institution/Group homes includes house parents, cottage parents, or other persons supervising a juvenile in a child-care facility. This code is also to be used for any on-site administrator found to be responsible for the neglect or abuse of a child.
18	28	Employee of a Child Care Facility/Plan – Child care is a child care arrangement for a child under 13 years of age in a child care facility or plan as defined in Article 7 of Chapter 110 of the NC General Statutes. An employee of a Child Care Facility/Plan includes any person who has responsibility for care of a juvenile in a child care arrangement as defined in Article 7 of Chapter 110 of the NC General Statutes or any person who has approval of the care provider to assume responsibility for the juveniles under the care of the care provider. This code is to be used also for any owner/operator found to be responsible for the neglect and/or abuse of a child.
19	29	Other Caretaker – Any person other than those listed above including an adult member of the juvenile’s household.
00		Unknown Perpetrator – This code is to be used when abuse (1), neglect (2), abuse and neglect (3), abuse and serious neglect (3S), serious neglect (2S), or neglect and serious neglect (2N) have been substantiated but the specific perpetrator cannot be identified. Use of this code will require an entry of “05” in Field 31.

**FIELD 24 – SERVICES PROVIDED**

**[ENTRY REQUIRED]**

Enter the two-digit code for any services that were referred or provided to the family as a result of the CPS Assessment to reported allegations. Services may have either been provided directly by the county child welfare agency or by another agency. There is space to enter up to three two-digit codes for Services Provided. If more than three services were provided, enter the codes for the three most critical services identified to meet the child and family needs. If a family was referred to services, but those services had not yet been initiated at the time of case decision, place code “12” (Information and Referral Services). “No Services Referred or Provided” code (00) is used for cases with Type Found of “Unsubstantiated,” “Services Recommended” or “Services Not Recommended.”

CODE	DEFINITION
00	No Services Referred or Provided
01	Adoption Services – Services or activities provided to assist in bringing about the adoption of a child.
02	Case Management Services - Services or activities for the arrangement, coordination, and monitoring of services to meet the needs of children and their families. This would include NC’s service code 215, CPS In-Home Services.
03	Counselling Services - Activities that apply the therapeutic processes to personal, family, situational or occupational problems in order to bring about a positive resolution of the problem or improved individual or family functioning or circumstances.
04	Child Care Services - Services or activities provided in a setting that meet applicable standards of State and local law, in a center or in a home, for a portion of a 24-hour day.
05	Educational and Training Services - Activities provided to improve knowledge or daily living skills and to enhance cultural opportunities.
06	Employment Services - Activities provided to assist individuals in securing employment or acquiring of skills that promote opportunities for employment.
07	Family Planning Services - Educational, medical, or social service activities that enable individuals, including minors, to determine freely the number and spacing of their children and to select the means by which this may be achieved.
08	Health-Related and Home Health Services - Activities provided to attain and maintain a favorable condition of health.

CODE	DEFINITION
09	Home-Based Services - In-home activities provided to individuals or families to assist with household or personal care that improve or maintain family wellbeing. Includes in-home aides, home maintenance and household management services.
10	Housing Services - Activities designed to assist individuals or families in locating, obtaining, or retaining suitable housing.
11	Independent and Transitional Living Services (LINKS) - Activities designed to help older youth in foster care or homeless youth make the transition to independent living.
12	Information and Referral Services - Resources or activities designed to provide facts about services made available by public and private providers, after a brief assessment of client needs (but not a diagnosis and evaluation) to facilitate appropriate referral to these community resources.
13	Legal Services - Activities provided by a lawyer, or other person(s) under the supervision of a lawyer, to assist individuals in seeking or obtaining legal help in civil matters such as housing, divorce, child support, guardianship, paternity and legal separation.
14	Mental Health Services - Activities which aim to overcome issues involving emotional disturbance or maladaptive adversely affecting socialization, learning, or development. Usually provided by public or private mental health agencies and includes both residential and non-residential activities
15	Pregnancy/Parenting Services for Young Parents - Activities for married or unmarried adolescent parents and their families to assist them in coping with social, emotional, and economic problems related to pregnancy and to plan for the future.
16	Respite Care Services - Activities involving the temporary care of the children in order to provide relief to the caretaker. May involve care of the children outside of the caretaker's own home for a brief period of time, such as overnight or for a weekend. Not considered by the State to be foster care or other placement.
17	Special Services - Disabled - Activities for persons with developmental, physical, emotional, visual or auditory impairments that are intended to help maximize their potential alleviate the effects of their disabilities, and to enable these persons to live in the least restrictive environment possible.

CODE	DEFINITION
18	Special Services / Juvenile Delinquent - Activities for youth (and their families) who are, or who may become, involved with the juvenile justice system.
19	Substance Abuse Services – Activities designed to deter, reduce, or eliminate substance abuse or chemical dependency for the child or the child’s family as a result of the CPS response to reported allegations, or to the child himself.
20	Transportation Services - Activities that provide or arrange for travel, including travel costs of individuals, in order to access services, or obtain medical care or employment.
21	Other Services - Activities that have been provided to the child and/or family, but which are not included in the services listed above.
22	Court Appointed Representative – A person appointed by the court to represent or advocate for a child in a neglect and/or abuse proceeding. May be an attorney or a court-appointed Special Advocate (or both) and is often referred to as a Guardian ad Litem.
23	Family Preservation Services – Activities designed to help families alleviate crises that might lead to out-of-home placement of children, maintain the safety of children in their own homes, support families preparing to reunify or adopt, and assist families in obtaining services and other supports necessary to address their multiple needs in a culturally sensitive manner.
24	Family Support Services – Community-based preventative activities designed to alleviate stress and promote parental competencies and behaviors that will increase the ability of families to successfully nurture their children, enable families to use other resources and opportunities available in the community, and create supportive networks to enhance child-rearing abilities of parents.
25	Plan of Safe Care – A case plan that is developed for Substance Affected Infants (SAI) with the family that identifies the needs of the child and family. Should only be used if there is a Contributory Factor of Caretaker-Drug Abuse and/or Child Drug problem with a Substance Affected Infant selection and the drug of use is identified.

**FIELD 25 - FAILURE TO REPORT SOURCE**

**[ENTRY REQUIRED]**

This field is completed when, during the course of the CPS Assessment, sources were found to know of the allegations but failed to report them. Use the code that best describes the source. If there is more than one source identified that failed to report the allegations, please record the first source identified. Enter the two-digit code for the source of failure to report.

CODE	DEFINITION
01	Anonymous - An anonymous reporter is a person who deliberately chooses to remain anonymous.
02	Childcare Provider - This category includes baby sitters, personnel in childcare arrangements, Smart Start or Head Start agency personnel.
03	Educational Personnel - This category includes teachers, principals, school nurses, learning aids, school librarians, or other individuals who report the maltreatment as a result of their involvement in a school setting.
04	Law Enforcement or Court Personnel - This category includes police, courts, attorney, parole and probation officers, and sheriff's deputies.
05	Medical Personnel - This category includes private physicians, clinic or hospital physicians, dentists, emergency room personnel, nurses, X-ray technicians, the staff of a physician in private practice, optometrists, and paramedics.
06	Relative - A member of the child's and/or caretaker's immediate or extended family-who that is not covered by another category.
07	Non-Relative - A person who is not related to the child's family or to the child. Example: friend, neighbor, or foster parent.
08	Human Service Personnel - This is category includes child welfare workers, social workers, mental health workers (psychiatrist, psychologist, psychiatric or clinical social workers), and the staff of social service agencies and institutions.
09	Victim - The child who is alleged to be neglected and/or abused.
10	Parent -The biological, adoptive, or stepparent of the child.
11	N/A - During the course of the CPS assessment there was no failure to report found.

**FIELD 26 - FAILURE TO REPORT REASON**

**[REQUIRED IF CODE 01-10 IS ENTERED IN FIELD 24]**

If code 01-10 has been selected for Field 24, at least one of the following reasons must be selected. Enter an “X” by the appropriate failure to report reasons. Select as many reasons that apply.

- Did not want to get involved/family matters/religious beliefs
- Thought DSS would not respond
- Fear of retaliation/financial distress
- Did not know how to report
- Thought someone else would report it/better handled by other resources or services
- Thought it would be a breach of confidentiality
- Did not consider actions inappropriate/disbelief of possible allegations
- Other/Refused to Say/Unknown

**FIELD 27 - CONTRIBUTORY FACTORS**

**[REQUIRED IF SUBSTANTIATED OR FOUND SERVICES NEEDED]**

The tables below list three categories of Contributory Factors that may have led to the need for Child Protective Services intervention: conditions attributed to the caretaker, conditions attributed to the child, and conditions attributed to the household. Within each category (caretaker, child, and household), select as many factors as applicable and rank each factor based on priority.

For Contributory Factors associated with either the caretaker or the child, rank each factor from 01 to 09 (where 01 indicates the highest priority and 09 is the lowest). For Contributory Factors associated with the household, rank each factor based on the priority from 01 to 04 (where 01 indicates the highest priority and 04 is the lowest).

Caretaker, Child, and Household Contributory Factors are prioritized separately. The priority must be a two-digit number. Complete this section on the DSS-5104 for each child. At least one contributory factor from one of these three tables must be identified if the CPS Assessment finding is “Substantiated” or “Services Needed.”



If none of the caretaker, child or household factors apply enter “00” in the box label “None of These Apply for This Child”. If “00” is entered no other entries are allowed.

These Contributory Factors are derived directly from the federal definitions used to report to the National Child Abuse and Neglect Data System (NCANDS) data collection and analysis system. As such, some definitions are based upon but have a broader definition than that found in the Diagnostic and Statistical Manual of Mental Disorders (DSM).

For Caretaker-Drug Abuse and Child-Drug Problem Contributory Factors, there are additional fields associated with Substance Affected Infant (SAI) who may have been exposed to substances during pregnancy. If SAI is indicated for either of these contributory factors, the two-digit drug of use code must be entered. A list of the valid drug codes is listed at the end of the tables of contributory factors.

<b>CARETAKER CONTRIBUTORY FACTOR</b>	<b>DEFINITION</b>
Alcohol Abuse – Caretaker	The principal caretaker(s)’ compulsive use of alcohol that is not of a temporary nature.
Drug Abuse – Caretaker	The principal caretaker(s)’ compulsive use of drugs that is not of a temporary nature.
Mental Retardation – Caretaker	Significant sub-average general cognitive and motor functioning existing concurrently with deficits in adaptive that adversely affect socialization and learning. This condition must be clinically diagnosed.
Emotionally Disturbed – Caretaker	A condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree: an inability to build or maintain satisfactory interpersonal relationships, inappropriate types of or feeling under normal circumstances, a general pervasive mood of unhappiness or depression, or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed. This condition must be clinically diagnosed. The diagnosis is based on the

CARETAKER CONTRIBUTORY FACTOR	DEFINITION
	Diagnostics and Statistical Manual of Mental Disorders (the most recent edition of DSM).
Visually or Hearing Impaired – Caretaker	A clinically diagnosed handicapping condition of the principal caretaker(s) related to visual impairment or permanent or fluctuating hearing or speech impairment that may significantly affect functioning or development.
Learning Disability – Caretaker	A disorder of one or more of the principal caretaker(s) basic psychological processes involved in understanding or using language, spoken or written, that may manifest itself in an imperfect ability to listen, think, speak, read, write, spell, or to use mathematical calculations. This item includes conditions such as perceptual disability, brain injury, minimal brain dysfunction, dyslexia, and developmental aphasia. This condition must be clinically diagnosed.
Physically Disabled – Caretaker	A physical condition that adversely affects the caretaker(s)' day-to-day motor functioning, such as cerebral palsy, spinal bifida, multiple sclerosis, impairments, and other physical disabilities. This condition must be clinically diagnosed.
Other Medical Condition – Caretaker	A medical condition other than mental retardation, visual or hearing impairment, physical disability, or being emotionally disturbed, that significantly affects the functioning or development of the primary caretaker(s) and their ability to provide a suitable child care environment. This condition must be clinically diagnosed.
Lack of Child Development Knowledge – Caretaker	Limited knowledge of what can be reasonably expected of a child at various stages of development.

CHILD CONTRIBUTORY FACTOR	DEFINITION
Alcohol Problem – Child	A compulsive use of or need for alcohol. This includes infants addicted at birth or who are victims of Fetal Alcohol Syndrome, or who may suffer other disabilities due to the use of alcohol during pregnancy.
Drug Problem – Child	A compulsive use of or need for narcotics. This includes infants addicted at birth.
Mental Retardation – Child	Significant sub-average general cognitive and motor functioning existing concurrently with deficits in adaptive behavior manifested during the developmental period that adversely affect a child’s/youth’s socialization and learning. This condition must be clinically diagnosed.
Emotionally Disturbed – Child	A condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree: an inability to build or maintain satisfactory interpersonal relationships, inappropriate types of or feeling under normal circumstances, a general pervasive mood of unhappiness or depression or a tendency to develop physical symptoms or fears associated with personal problems. The term includes persons who are schizophrenic or autistic. The term does not include persons who are socially maladjusted, unless it is determined that they are also seriously emotionally disturbed. This condition must be clinically diagnosed. The diagnosis is based on the Diagnostics and Statistical Manual of Mental Disorders (the most recent edition of DSM).
Visually or Hearing Impaired – Child	A clinically diagnosed handicapping condition of the child related to visual impairment or permanent or fluctuating hearing or speech impairment that may significantly affect functioning or development.

CHILD CONTRIBUTORY FACTOR	DEFINITION
Learning Disability – Child	A disorder in one or more of the child’s basic psychological processes involved in understanding or using language, spoken or written, that may manifest itself in an imperfect ability to listen, think, speak, read, write, spell, or to use mathematical calculations. This item includes conditions such as perceptual disability, brain injury, minimal brain dysfunction, dyslexia, and developmental aphasia.
Physically Disabled – Child	A physical condition that adversely affects the child’s day-to-day motor functioning, such as cerebral palsy, spinal bifida, multiple sclerosis, impairments, and other physical disabilities.
Behavior Problem- Child	Behavior in the school and/or community that adversely affects socialization, learning, growth, and moral development. These may include adjudicated or non-adjudicated child behavior problems. This would include the child’s running away from home or a placement.
Other Medical Condition – Child	A medical condition other than mental retardation, visual or hearing impairment, physical disability, or being emotionally disturbed, that significantly affects the functioning or development the child or requires special medical care such as chronic illnesses. This includes Near Fatality cases. Included are children diagnosed as HIV positive or with AIDS.

HOUSEHOLD CONTRIBUTORY FACTOR	DEFINITION
Domestic Violence	Incidents of inter-spousal physical or emotional abuse perpetrated by one of the spouses or parent figures upon the other spouse or parent figure in the child’s home environment.

HOUSEHOLD CONTRIBUTORY FACTOR	DEFINITION
Inadequate Housing	A risk factor related to substandard, overcrowded, unsafe, or otherwise inadequate housing conditions, including homelessness.
Financial Problem	A risk factor related to the family's inability to provide sufficient financial resources to meet minimum needs.
Public Assistance	Any one or combination of the following welfare or social services programs: TANF (Work First), General Assistance, Medicaid, SSI, Food, Nutrition and Assistance (formerly Food Stamps), etc.

Note: If Substance Affected Infant (SAI) has been selected with contributory factor Caretaker-Drug Abuse and/or Child Drug Problem, at least one of the following Drug of Use (DOU) codes must be entered. Enter the two-digit code for the appropriate DOU identified.

Code	Description
01	Tobacco
02	Marijuana
03	Cocaine
04	Other Opiated (non-prescription)
05	Heroin
06	Methamphetamine
07	Other Amphetamine
08	Other Stimulus
09	Benzodiazepines
10	Other Tranquilizers
11	Oxycodone
12	Barbiturates
13	Other Sedatives
14	MDMA/Ecstasy
15	PCP
16	Other Hallucinogens

17	Inhalants
18	OTC (Over the Counter Meds)

**FIELD 28 - TYPE REPORTED**

**[ENTRY REQUIRED IF APPLICABLE]**

Enter the one-digit code to identify the type of report accepted for a CPS Assessment.

For the child where the only allegation is Safe Surrender, type “4” should be selected. For additional information on Safe Surrender policy, refer to [CPS Assessments found in the Child Welfare Manual](#).

Note: When there are multiple children involved in a CPS assessment, if all children do not have allegations of maltreatment, the first child listed on the DSS-5104 must have a valid Type

Reported (Type 1-4). Type 5, no allegations of maltreatment against this child, may be selected for any subsequent children as appropriate.

CODE	TYPE OF REPORT	DEFINITION
1	Abuse	An allegation that a juvenile’s parent, guardian, custodian, or caretaker inflicts or allows to be inflicted, creates or allows to be created a substantial risk of serious physical injury by other than accidental means, or uses or allows to be used upon the juvenile cruel or grossly inappropriate procedures or cruel or grossly inappropriate devices to modify, or commits, permits, or encourages the commission of any sexual offense by, with, or upon the juvenile in violation of the law, promotes the prostitution of the juvenile, or creates or allows to be created serious emotional damage to the juvenile, or encourages, directs or approves of delinquent acts involving moral turpitude committed by the juvenile, commits or allows to be committed a human trafficking offense.

CODE	TYPE OF REPORT	DEFINITION
2	Neglect	An allegation that a juvenile does not receive proper care, supervision, or discipline from the juvenile’s parent, guardian, custodian or caretaker, or who has been abandoned, or who is not provided necessary medical care, or who is not provided necessary remedial care, or who lives in an environment injurious to the juvenile’s welfare, or who has been placed for care or adoption in violation of the law or a victim of Human Trafficking. In determining whether to accept a report that a juvenile may be neglected, it is relevant whether that juvenile lives in a home where another juvenile has died as a result of abuse and/or neglect or lives in a home where another juvenile has been subjected to sexual abuse or severe physical abuse by an adult who regularly lives in the home.
3	Abuse and Neglect	An allegation that both abuse and neglect occurred.
4	Dependency	An allegation that a juvenile is in need of assistance or placement because he has no parent, guardian, or custodian responsible for the juvenile’s care or supervision or whose parent, guardian, or custodian, due to physical or mental incapacity and the absence of an appropriate alternative child care arrangement, is unable to provide for the juvenile’s care or supervision.
5	No Allegation of Maltreatment	This code may only be used for subsequent children when the first child listed on the DSS-5104 has a Type Reported of 1-4. Indicates that there is no allegation of maltreatment against that particular child.

**FIELD 29 - MALTREATMENT TYPE REPORTED [ENTRY REQUIRED IF APPLICABLE]**

At the time that the CPS report was accepted, select what type of maltreatment is alleged by the reporting source.

If type reported code is “1” for abuse, place as many priority codes as applicable. Up to four priority codes (where 01 indicates the highest priority and 04 is the lowest) may be placed next to the abuse allegation options.

If type reported is “2” for neglect, place as many priority codes as applicable. Up to ten priority codes (where 01 indicates the highest priority and 10 is the lowest) may be placed next to the neglect allegation items.

If type reported code is “3” for abuse and neglect, place as many priority codes as applicable. Up to fourteen priority codes (where 01 indicates the highest priority and 14 is the lowest) may be placed, next to both the abuse and neglect allegation items.

If type reported code is “4”, for dependency, this field may be left blank.

For the Child Protective Services referral that has been identified by the agency as a Safe Surrender, select Safe Surrender.

If there is no alleged maltreatment for this child, enter code “00”. This option is only to be used if there is more than one child and the first child has a valid maltreatment type entered. This code may only be selected if the value in Field 28 for this child is “5” (no alleged maltreatment) and no other entries are allowed.

<b>ABUSE RELATED MALTREATMENT TYPE</b>	<b>DEFINITION</b>
Abuse – Physical	Non-accidental, serious, physical injury or risk of serious physical injury caused or allowed to be caused by the parent, guardian, custodian, or caretaker. The parent, guardian, custodian, or caretaker used or allowed the use of cruel or grossly inappropriate procedures or cruel or grossly inappropriate devices to modify behavior.
Abuse – Emotional	Severe emotional damage to the juvenile created or allowed to be created by the parent, guardian, custodian, or caretaker as evidenced by a juvenile’s severe anxiety, depression, withdrawal or aggressive behavior toward himself or others.



ABUSE RELATED MALTREATMENT TYPE	DEFINITION
Abuse – Sexual	Any sexual act with, by or upon a juvenile in violation of the law, committed or allowed to be committed by the parent, guardian, custodian, or caretaker. This includes prostitution with or by the child. Also included are pornographic filming and picture taking.
Delinquent Acts Involving Moral Turpitude	Delinquent acts committed by the juvenile with the encouragement, direction or approval of the parent or caretaker.
Human Trafficking - Sexual	The parent, guardian, custodian, or caretaker sold or attempted to sell the juvenile, subjected or maintained the juvenile in sexual servitude, or recruits, entices, harbors, transports, provides, or obtains by any means the juvenile with the intent that the juvenile be held in sexual servitude.
Human Trafficking - Labor	The parent, guardian, custodian, or caretaker sold or attempted to sell the juvenile, held the juvenile in involuntary servitude, or recruits, entices, harbors, transports, provides, or obtains by any means the juvenile with the intent that the juvenile be held in involuntary servitude.

SERIOUS NEGLECT/NEGLECT RELATED MALTREATMENT TYPE	DEFINITION
Improper Supervision	The parent, guardian, custodian, or caretaker did not provide proper supervision.
Improper Care	The parent, guardian, custodian, or caretaker did not provide proper care.
Unsafe Discipline (No Physical Injuries)	The parent, guardian, custodian, or caretaker did not provide safe discipline.

NC DSS  
 CPS Data Collection (Non-NC FAST)  
 Appendix 1

January 2024

Unsafe Discipline (Injuries)	The parent, guardian, custodian, or caretaker providing improper discipline resulting in physical injuries.
Injurious Environment	Lives in an environment injurious to the juvenile's welfare other than substance abuse or domestic violence.
Injurious Environment (DV)	Evidence of Domestic Violence.
Injurious Environment (SA)	Evidence of Substance Abuse.
Abandonment	Child has been abandoned by parent, guardian, custodian, or caretaker, other than under the Safe Surrender law
Safe Surrender	Child has been identified as a Safe Surrender where the age of the child is 30 days or less.
Improper Med Care/Rem Care	The parent, guardian, custodian, or caretaker did not provide necessary medical care or other remedial care.
Adoption Law Violation	Placed for adoption in violation of law.

**FIELD 30 - TYPE FOUND**

**[ENTRY REQUIRED]**

Enter the one-digit code to indicate the findings of the CPS Assessment. These codes may be different for each alleged victim child in the report. Select the appropriate type found for each alleged victim child in the report.

CODE	TYPE FOUND	DEFINITION
0	Unsubstantiated	A situation that abuse, neglect, or dependency was not found.
1	Abuse Substantiated	A situation in which a juvenile’s parent, guardian, custodian, or caretaker inflicts or allows to be inflicted, creates or allows to be created a substantial risk of serious physical injury by other than accidental means, or uses or allows to be used upon the juvenile cruel or grossly inappropriate procedures or cruel or grossly inappropriate devices to modify behavior, or commits, permits, or encourages the commission of any sexual offense by, with, or upon the juvenile in violation of the law, promotes the prostitution of the juvenile, or creates or allows to be created serious emotional damage to the juvenile, encourages, directs or approves of delinquent acts involving moral turpitude committed by the juvenile, or commits or allows to be committed an offense under G.S. § 14-43.11 (human trafficking), G.S. § 14-43.12 (involuntary servitude), or G.S. § 14-43.13 (sexual servitude) against the child.

CODE	TYPE FOUND	DEFINITION
2	Neglect Substantiated	A situation in which a juvenile does not receive proper care, supervision, or discipline from the juvenile's parent, guardian, custodian or caretaker, or who has been abandoned, or who is not provided necessary medical care, or who is not provided necessary remedial care, or who lives in an environment injurious to the juvenile's welfare, or who has been placed for care or adoption in violation of the law. In determining whether a juvenile is a neglected juvenile, it is relevant whether that juvenile lives in a home where another juvenile has died as a result of abuse and/or neglect or lives in a home where another juvenile has been subjected to sexual abuse or severe physical abuse by an adult who regularly lives in the home.
2S	Serious Neglect Substantiated	Conduct, behaviors, or inaction of the juvenile's parent, guardian, custodian, or caretaker that evidences a disregard of consequences of such magnitude that the conduct, behavior, or inaction constitutes an unequivocal danger to the juvenile's health, welfare, or safety, but does not constitute abuse.
2N	Serious Neglect and Neglect Substantiated	A situation in which both Serious Neglect and neglect are found.
3	Abuse and Neglect Substantiated	A situation in which both abuse and neglect are found.

CODE	TYPE FOUND	DEFINITION
3S	Abuse and Serious Neglect Substantiated	A situation in which both abuse and Serious Neglect are found.
4	Dependency Substantiated	A situation in which a juvenile is in need of assistance or placement because the juvenile has no parent, guardian, or custodian responsible for the juvenile’s care or supervision or whose parent, guardian, or custodian, due to physical or mental incapacity and the absence of an appropriate alternative child care arrangement, is unable to provide for the juvenile’s care or supervision.
5	Child Protective Services Needed	Involuntary CPS services to ensure the safety of the child. These are situations in which the safety and/or risk of harm is so great that the agency cannot ensure the safety of the children without either providing necessary services or monitoring those provided by another agency or provider.
7	Child Protective Services Not Recommended	A situation in which a Family Assessment has been completed on CPS reports of neglect (with the exception of abandonment and the special types of reports) and dependency, and not only is the safety of a child not an issue and there is no concern for the future risk of harm, but also, the family has no need for other non-safety related services.
8	Services Provided, Child Protective Services No Longer Needed	A situation in which a Family Assessment has been completed on CPS reports of neglect (with the exception of abandonment and the special types of reports) and dependency, and the safety of a child and future risk of harm were high enough to qualify for involuntary services BUT are no longer issues because the agency had been successful in “frontloading” necessary services during the Family Assessment. These are cases in which continued involuntary CPS supervision is no longer needed to ensure the child’s safety. This finding is not

CODE	TYPE FOUND	DEFINITION
		appropriate for cases in which the agency feels it needs to ensure safety due to ongoing concerns for safety or future risk of harm if the recommendations are not followed.

**FIELD 31- FINDINGS REASON**

**[ENTRY REQUIRED IF APPLICABLE]**

If type found code in Field 30 is “Unsubstantiated” (0) or “Services Not Recommended” (7), enter in a two-digit reason code for finding.

If type found code in Field 30 is “Abuse” (1), “Neglect” (2), “Abuse and neglect” (3), “Abuse and Serious Neglect” (3S), “Serious Neglect” (2S), or “Neglect and Serious Neglect” (2N) and the code in Field 23, Perpetrator Relationship is “Unknown Perpetrator” (00), then code “05” must be entered in this field.

For the Safe Surrender child, this field should be left blank.

CODE	VALUE	DEFINITION
01	Allegations could not be proven	At the time of case decision, no evidence could be found to prove allegations occurred.
02	Isolated Incident	Accidental incident that did not pose a serious physical injury, risk of serious physical injury, or risk of severe emotional damage.
03	Lack of Severity	Incident is not of a serious nature to be defined as abuse or neglect.
04	No Lack of Safety/No protection issue	At the time of case decision, incident did not pose any immediate or future safety protection issues.
05	Cannot Identify Perpetrator	At the time of case decision, protection of child from the perpetrator was not an issue OR the identity of the perpetrator was not able to be determined.

06	Perpetrator is not a caretaker	Perpetrator is not a parent, guardian, or custodian or caretaker.
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**FIELD 32 - MALTREATMENT TYPE FOUND [ENTRY REQUIRED FOR SUBSTANTIATED CASES OF ABUSE, NEGLECT, OR ABUSE AND NEGLECT ONLY]**

At the conclusion of the CPS Assessment, if the case is “Substantiated”, select the appropriate maltreatment type found.

Do not complete this field if a family assessment finding (Codes 5, 6, 7, or 8) is recorded in Field 30 (Type Found). **Do not complete if dependency (Code 4) is recorded in Field 30 (Type Found) unless it is a Safe Surrender (it must meet the requirements for a Safe Surrender under the law-Please refer to the policy found in the [Assessments](#) manual regarding Safe Surrender) and then the box for Safe Surrender should be checked.**

This field allows more than one type of maltreatment to be selected. Each maltreatment type must be assigned a priority code. The priority code is based on what level of priority is given to the maltreatment type with “01” being the highest priority. The priority code must be at least two-digits.

The maltreatment type is based on the case finding (Type Found) in Field 30.

If the case finding code is “1” then prioritize as many abuse maltreatment types as applicable, up to four. If the case finding code is “2” then prioritize as many neglect maltreatment types as applicable, up to ten. If the case finding code is “3”, then prioritize as many abuse and neglect maltreatment types as apply, up to fourteen.

For all neglect maltreatment types that are prioritized, the “Serious” box may be selected.

ABUSE RELATED MALTREATMENT TYPE	DEFINITION
Abuse – Physical	Non-accidental, serious, physical injury or risk of serious physical injury caused or allowed to be caused by the parent, guardian, custodian, or caretaker. The parent, guardian, custodian, or caretaker used or allowed the use of cruel or grossly inappropriate procedures or cruel or grossly inappropriate devices to modify behavior.

Abuse – Emotional	Severe emotional damage to the juvenile created or allowed to be created by the parent, guardian, custodian, or caretaker as evidenced by a juvenile’s severe anxiety, depression, withdrawal or aggressive behavior toward himself or others.
Abuse – Sexual	Any sexual act with, by or upon a juvenile in violation of the law, committed or allowed to be committed by the parent, guardian, custodian, or caretaker. This includes prostitution with or by the child. Also included are pornographic filming and picture taking.
Delinquent Acts Involving Moral Turpitude	Delinquent acts committed by the juvenile with the encouragement, direction or approval of the parent or caretaker.
<b>ABUSE RELATED MALTREATMENT TYPE</b>	<b>DEFINITION</b>
Human Trafficking - Sexual	The parent, guardian, custodian, or caretaker sold or attempted to sell the juvenile, subjected or maintained the juvenile in sexual servitude, or recruits, entices, harbors, transports, provides, or obtains by any means the juvenile with the intent that the juvenile be held in sexual servitude.
Human Trafficking - Labor	The parent, guardian, custodian, or caretaker sold or attempted to sell the juvenile, held the juvenile in involuntary servitude, or recruits, entices, harbors, transports, provides, or obtains by any means the juvenile with the intent that the juvenile be held in involuntary servitude.

<b>SERIOUS NEGLECT RELATED MALTREATMENT TYPE</b>	<b>DEFINITION</b>
Improper Supervision	The parent, guardian, custodian, or caretaker did not provide proper supervision.



SERIOUS NEGLECT RELATED MALTREATMENT TYPE	DEFINITION
Improper Care	The parent, guardian, custodian, or caretaker did not provide proper care.
Neglect Related Maltreatment Type	Definition
Unsafe Discipline (No Physical Injuries)	The parent, guardian, custodian, or caretaker did not provide safe discipline.
Unsafe Discipline (Physical Injuries)	The parent, guardian, custodian, or caretaker providing unsafe discipline resulting in physical injuries.
Injurious Environment	Lives in an environment injurious to the juvenile's welfare other than substance abuse or domestic violence.
Injurious Environment (DV)	Evidence of Domestic Violence.
Injurious Environment (SA)	Evidence of Substance Abuse.
Abandonment	Child has been abandoned by parent, guardian, custodian, or caretaker, other than under the Safe Surrender law.
<b>Safe Surrender</b>	<b>Child has been identified as a Safe Surrender where the age of the child is 30 days or less.</b>
Improper Medical Care/Remedial Care	The parent, guardian, custodian, or caretaker did not provide necessary medical care or other remedial care.
Adoption Law Violation	Placed for adoption in violation of law.

**FIELD 33 - PERPETRATOR NAME [ENTRY REQUIRED FOR CASES SUBSTANTIATED FOR ABUSE AND/OR NEGLECT ONLY]**

No perpetrator information is entered when the type found in Field 30 is dependency (4), or for any of the family assessment findings (5, 6, 7, or 8).

If the code in Field 31, Findings Reason, is 05, “the identity of the perpetrator was not able to be determined”, the Perpetrator Fields (33-40) will be left blank.

There are sections on the DSS-5104 for up to two perpetrators. At data entry, there are sections in the system for up to ten perpetrators. Therefore, if there are more than two perpetrators in a report, complete the DSS-5104p (<http://info.dhhs.state.nc.us/olm/forms/dss/dss-5104p.pdf>).

If any perpetrator is an employee of a group home or institution, enter the required information for the specific perpetrator and write the name of that group home or institution in Field 41, labelled

“GROUP HOME/INSTITUTION” of the DSS-5104.

If the case decision is that the owner/operator or administrator of a group home or institution was responsible for the abuse and/or neglect of a child, that individual’s name should be listed as a perpetrator. If the case decision concludes that there is no specific employee of a group home or institution who can be identified as a perpetrator in the incident being substantiated, enter unknown as the perpetrator and enter the name of that child care arrangement, group home, or institution in the field labelled “GROUP HOME/INSTITUTION” of the paper DSS-5104 form. If the situation involves a child care home, the child care provider’s name may be used in this field.

If a family assessment was conducted or if the case was substantiated for dependency, there is no perpetrator, and therefore, nothing is entered in Fields 33 - 38.

To enter perpetrator information in the State system, press F9. To enter additional perpetrator information, press F8 to scroll to the next perpetrator screen.

Enter the name of each parent or other caretaker identified as a perpetrator. The individual perpetrator’s name is entered with the last name, first name, and the middle initial in the middle initial block.

**FIELD 34 - DATE OF BIRTH [ENTRY REQUIRED FOR CASES SUBSTANTIATED FOR ABUSE, SERIOUS NEGLECT AND/OR NEGLECT ONLY]**

Enter the month, day, and year [use a leading zero for any month or day less than ten] for each perpetrator’s date of birth in the format MMDDYYYY. If the exact date of birth is unknown or cannot be obtained, leave this field blank and go to Field 35. The Central Registry system will list an estimated date of birth based on the age listed in Field 35 and the date of the report. The fact that the date of birth is estimated will be marked in the Central Registry system.

**FIELD 35 – AGE [ENTRY REQUIRED FOR CASES SUBSTANTIATED FOR ABUSE, SERIOUS NEGLECT AND/OR NEGLECT ONLY]**

If the perpetrator’s date of birth is unknown and cannot be obtained, enter the two-digit code that indicates the perpetrator’s age in years. If the exact age is unknown, approximate the age. DO NOT CODE A “99” FOR UNKNOWN. Do not complete this field when the date of birth was entered in Field 34. The Central Registry system will compute the age automatically.

**FIELD 36 – RACE and ETHNICITY [ENTRY REQUIRED FOR CASES SUBSTANTIATED FOR ABUSE, SERIOUS NEGLECT AND/OR NEGLECT ONLY]**

Enter the appropriate two-digit code to indicate the primary racial group of which the perpetrator is a member.

<b>CODE</b>	<b>DEFINITION</b>
01	White Native (Non Hispanic or Latino)
02	White (Hispanic or Latino)
03	Black (Non Hispanic or Latino)
04	Black (Hispanic or Latino)
05	American Indian or Alaskan Native (Non Hispanic or Latino)
06	American Indian or Alaskan Native (Hispanic or Latino)
07	Asian (Non Hispanic or Latino)
08	Asian (Hispanic or Latino)
09	Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
10	Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
11	Unable to Determine (Non Hispanic or Latino)
12	Unable to Determine (Hispanic or Latino)
13	White/Black (Non Hispanic or Latino)
14	White/Black (Hispanic or Latino)

CODE	DEFINITION
15	White/American Indian or Alaskan Native (Non Hispanic or Latino)
16	White/American Indian or Alaskan Native (Hispanic or Latino)
17	White/Asian (Non Hispanic or Latino)
18	White/Asian (Hispanic or Latino)
19	White/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
20	White/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
21	Black/American Indian or Alaskan Native (Non Hispanic or Latino)
22	Black/American Indian or Alaskan Native (Hispanic or Latino)
23	Black/Asian (Non Hispanic or Latino)
24	Black/Asian (Hispanic or Latino)
25	Black Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
26	Black/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
27	American Indian or Alaskan Native/Asian (Non Hispanic or Latino)
28	American Indian or Alaskan Native/Asian (Hispanic or Latino)
29	American Indian or Alaskan Native/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
30	American Indian or Alaskan Native/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
31	Asian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
32	Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
33	White/Black/American Indian or Alaskan Native (Non Hispanic or Latino)
34	White/Black/American Indian or Alaskan Native (Hispanic or Latino)
35	White/Black/Asian (Non Hispanic or Latino)
36	White/Black/Asian (Hispanic or Latino)
37	White/Black/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
38	White/Black/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
39	White/American Indian or Alaskan Native/Asian (Non Hispanic or Latino)
40	White/American Indian or Alaskan Native/Asian (Hispanic or Latino)
41	White/American Indian or Alaskan Native/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)

CODE	DEFINITION
42	White/American Indian or Alaskan Native/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
43	White/Asian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
44	White/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
45	Black/American Indian or Alaskan Native/Asian (Non Hispanic or Latino)
46	Black/American Indian or Alaskan Native/Asian (Hispanic or Latino)
47	Black/American Indian or Alaskan Native/Native Hawaiian (Non Hispanic or Latino)
48	Black/American Indian or Alaskan Native/Native Hawaiian (Hispanic or Latino)
49	Black/Asian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
50	Black/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
51	American Indian/Asian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
52	American Indian/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
53	White/Black/American Indian/Asian (Non Hispanic or Latino)
54	White/Black/American Indian/Asian (Hispanic or Latino)
55	White/Black/American Indian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
56	White/Black/American Indian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
57	White/Black/Asian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
58	White/Black/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
59	White/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
60	White/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)
61	Black/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
62	Black/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)

CODE	DEFINITION
63	White/Black/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)
64	White/Black/American Indian/Asian/Native Hawaiian or Other Pacific Islander (Hispanic or Latino)

**FIELD 37 – SEX [ENTRY REQUIRED ON CASES SUBSTANTIATED FOR ABUSE, SERIOUS NEGLECT AND/OR NEGLECT ONLY]**

Enter the appropriate one-digit code to indicate the sex of the perpetrator.

CODE	DEFINITION
1	Male
2	Female
3	Gender Non-Conforming

**FIELD 38 - SOCIAL SECURITY NUMBER [ENTRY REQUIRED ON CASES SUBSTANTIATED FOR ABUSE AND/OR NEGLECT ONLY]**

Enter the Social Security Number for the perpetrator. If the Social Security Number is unknown and cannot be obtained, enter all “0s” in this field.

**FIELD 39 - RESPONSIBLE INDIVIDUALS LIST INDICATOR [ENTRY REQUIRED ON CASES SUBSTANTIATED FOR ABUSE AND/OR NEGLECT ONLY]**

The code in this field is automatically “00” until a DSS-5104a is completed. The RIL indicator will automatically be updated based on the information keyed in the RIL.

Codes ending with a “J” indicate that the individual was placed on the RIL as the result of a Judicial Review.

CODE	DEFINITION	RIL PLACEMENT STATUS
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00	Dismissed / Adjudication No RIL Placement / No Adjudication	No
1J	Abuse / RIL Placement	Yes
2J	Serious Neglect / RIL Placement	Yes
3J	Abuse and Serious Neglect / RIL Placement	Yes
4J	Abuse and Neglect/ RIL Placement	Yes
5J	Serious Neglect and Neglect/ RIL Placement	Yes

Codes ending with an “A” indicate that the individual was placed on the RIL as the result of a Juvenile Petition.

**Note: As of October 1, 2013, these codes were no longer used for new RIL placements, however they are valid codes for Petitions prior to October 1, 2013.**

CODE	DEFINITION	RIL PLACEMENT STATUS
00	Dismissed / Adjudication No RIL Placement / No Adjudication	No
1A	Abuse / RIL Placement	Yes
2A	Serious Neglect / RIL Placement	Yes
3A	Abuse and Serious Neglect / RIL Placement	Yes
4A	Abuse and Neglect/RIL Placement	Yes
5A	Serious Neglect and Neglect/ RIL Placement	Yes

Code 9A refers to the Judicial Petition adjudication of abuse, serious neglect, abuse and neglect, abuse and serious neglect, serious neglect and neglect, neglect, and/or dependency without the placement of the individual on the RIL.

Codes ending with a “D” indicate that the individual was placed on the RIL as the result of the original case decision.

CODE	DEFINITION	RIL PLACEMENT STATUS
1D	Abuse / RIL Placement	Yes

2D	Serious Neglect / RIL Placement	Yes
3D	Abuse and Serious Neglect / RIL Placement	Yes
4D	Abuse and/or Neglect and Other Finding / RIL Placement	Yes
5D	Serious Neglect and Neglect/ RIL Placement	Yes

Although uncommon, cases have occurred where the individual is criminally convicted prior to the county child welfare case decision being made. The following codes will automatically populate to this field only if the individuals is not currently on the RIL and if other data keyed on the same DSS-5104 does not place the name on the RIL.

CODE	DEFINITION	RIL PLACEMENT STATUS
1C	Abuse	Yes
2C	Serious Neglect	Yes
3C	Abuse and Serious Neglect	Yes
4C	Abuse and/or Neglect	Yes
5C	Serious Neglect and Neglect	Yes

**FIELD 40 - MILITARY AFFILIATION**

**[ENTRY REQUIRED IF APPLICABLE]**

Please indicate if the perpetrator is a member of the military, enter the two-digit code that corresponds to the branch of service with which that individual is affiliated.

CODE	DEFINITION
00	Not Applicable
01	Army
02	Navy
03	Air Force
04	Marines



05	Coast Guard
06	Reserves- Active Duty
07	National Guard – Active Duty
08	Reserves – Inactive
09	National Guard – Inactive
10	Unknown

**FIELD 41 - GROUP HOME/INSTITUTION NAME**

**[ENTRY REQUIRED SUBSTANTIATED CASES INVOLVING  
CHILD CARE, GROUP HOME AND INSTITUTION SETTINGS]**

If the perpetrator relationship code in Field 23 is coded as “17”, “27”, “18”, or “28”, enter the group home or institution name involved.

Responsible Individuals List

**I. INTRODUCTION**

The development of the Responsible Individuals List (RIL) is a direct result of federal requirements under the Child Abuse Prevention and Treatment Act (CAPTA) (<http://www.gpo.gov/fdsys/pkg/PLAW-111publ320/pdf/PLAW-111publ320.pdf>), Section 106(a). The CAPTA grant requires each state to establish procedures for individuals found to have abused or neglected a juvenile to appeal that decision. Non-compliance with this requirement directly impacts the receipt of CAPTA funds.

This policy outlines procedures regarding notice to an alleged responsible individual and the procedures for a judicial review of the county child welfare agency's decision to substantiate abuse and/or serious neglect and identify the individual as a responsible individual.

**II. DEFINITIONS**

Session Law 2019-33 ( <https://www.ncleg.gov/Sessions/2019/Bills/House/PDF/H301v4.pdf>) amended the definition of Responsible Individual found in G.S. § 7B-101 ([http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_7B/GS\\_7B101.html](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B101.html)) The definition reads:

(18a) Responsible Individual – A parent, guardian, custodian, caretaker, or individual responsible for subjecting a juvenile to human trafficking under G.S. 14-43.11, 14-43.12, or 14-43.13 who abuses or seriously neglects a juvenile.

(19a) Serious Neglect – Conduct, behavior, or inaction of the juvenile's parent, guardian, custodian, or caretaker that evidences a disregard of consequences of such magnitude that the conduct, behavior, or inaction constitutes an unequivocal danger to the juvenile's health, welfare, or safety, but does not constitute abuse.

Administrative Rule 10A NCAC 70A .0104 (<http://reports.oah.state.nc.us/ncac/title%2010a%20-%20health%20and%20human%20services/chapter%2070%20-%20children's%20services/subchapter%20a/10a%20ncac%2070a%20.0104.html>) contains additional definitions that impact the RIL.

These definitions read:

*"Authorized persons" means persons authorized to receive data from the Responsible Individuals List. Individuals authorized to receive information from the Responsible Individuals List are individuals whose job functions include administration of the Responsible Individuals List and provision of information from the List to other authorized persons, as identified by the Director of the North Carolina Division of Social Services:*

- (A) *Individuals as identified by the directors of county child welfare agencies,*
  - (B) *Individuals as identified by the Director of the Division of Child Development for child caring institutions,*
  - (C) *Any Executive Director or program administrator of a child placing agency licensed by the State of North Carolina or another state or that state's agency,*
  - (D) *Individuals as identified by the Director of the Division of Health Service Regulation for group home facilities,*
  - (E) *Any Executive Director or program administrator of other providers of foster care, child care and adoption services determined by the Department of Health and Human Services,*
  - (F) *The Administrator for the State Guardian Ad Litem program, and*
  - (G) *Any Executive Director or program administrator of other private or nonprofit agencies that care for children.*
- (2) *"Personal written notice" means delivery in person of the case decision to the responsible individual by the social worker.*
- (3) *"Serious neglect" means conduct, behavior, or inaction that evidences a disregard of consequences of such magnitude as to constitute an unequivocal danger to a child's health, welfare or safety.*

### **III. RESPONSIBLE INDIVIDUALS LIST STATUTE (NCGS § 7B-311)**

DHHS is required to establish a list of individuals responsible for the abuse and/or serious neglect of a juvenile and is required to establish due process procedures for the alleged responsible individual to request a judicial review of the abuse and/or serious neglect decision and the placement of his or her name on the RIL. The case decision can also include other findings in any combination provided at least one of the findings is abuse or serious neglect.

The RIL is used to identify parents, guardians, caretakers, or custodians that have been named as responsible individuals in all substantiated cases of abuse and/or serious neglect. Thus, only case decisions made as a result of an Investigative Assessment can result in RIL placement.

Placement on the RIL occurs only after one of the following has occurred:

1. The responsible individual is properly notified of his or her right to request a judicial review and fails to file a petition for judicial review in a timely manner,
2. The court determines that the individual is a responsible individual as a result of a hearing on the individual's petition for judicial review, or
3. The individual is criminally convicted as a result of the same incident involved in the Investigative Assessment. The district attorney shall inform the director of the result of a criminal proceeding. Each county child welfare agency shall develop policies and procedures with its district attorney regarding the notification to the agency of the criminal conviction.

Requests for information, by authorized users other than county child welfare agencies, from the RIL shall be directed to the North Carolina Division of Social Services (NCDSS) using the Request for Information from the Responsible Individuals List form (<http://info.dhhs.state.nc.us/olm/forms/dss/dss-5268-ia.pdf>). Authorized individuals on staff at county child welfare agencies will have direct access to the RIL.

NCGS § 7B-311(b) only authorizes the use of the RIL “to determine the fitness of individuals to care for or adopt children.” The RIL may not be used as part of the employment process unless the employee will have the responsibility of caring for children, either on a temporary or permanent basis. RIL checks are mandated for foster parent and adoptive applicants and kinship care providers.

With the exception of searches conducted by the county child welfare agencies, all requests for searches of the Responsible Individuals List will be submitted in writing to the Division of Social Services by “authorized persons,” as defined in Section II above, who are strongly considering the responsible individual for employment or volunteer services that involve the care of or adoption of children. In order to conduct a search, the Division requires that the requests include the potential responsible individual's date of birth, sex, and Social Security Number, as well as an acknowledgement by the potential responsible individual that he or she has been informed that the Division of Social Services will disclose to the authorized person whether his or her name appears on the Responsible Individuals List.

In contrast, the Central Registry is used to gather historical and statistical data on children who have been alleged or identified as victims of abuse, neglect, and/or dependency. It is also used to gather historical and statistical data on parents, guardians, caretakers, and custodians identified as perpetrators of abuse or neglect. Access to the Central Registry is limited by North Carolina Laws and Administrative Rules, and that access does not change as a result of the Responsible Individuals List. At no time shall the Central Registry be used for determining employability or fitness of an individual (including a volunteer) to provide care to or adopt a child.

Because the RIL could affect the individual's employment or ability to foster or adopt, information maintained on the RIL should be current and updated within the timeframes established.

The RIL is subject to strict confidentiality rules. Therefore, it is unlawful for any public official or public employee to knowingly and willfully release information from the Central Registry or the RIL to an unauthorized person. It is unlawful for any person who is authorized to receive the information to release it to an unauthorized person, and it is unlawful for any person who is not authorized to receive information to access or attempt to access it. A person who commits such an offense described is guilty of a Class 3 Misdemeanor.

#### **IV. OUT-OF-STATE SITUATIONS**

There are instances when a report is received but the incident occurred out-of-state, or the alleged responsible individual lives out-of-state. The following scenarios detail actions to be taken related to the RIL:

**A. Child and parent/caretaker reside in NC: maltreatment is out-of-state:**

When the report indicates that the residence of both the child and the parents or caretakers is in North Carolina, but the location of the alleged maltreatment is out-of-state, the county of residence shall conduct the CPS Assessment, but if substantiated for abuse and/or serious neglect, the named perpetrator is not eligible for the judicial review process which must take place in the county where the abuse or neglect report arose, and thus may not have their name placed on the RIL.

**B. Child resident of NC, parent/caretaker non-NC resident, maltreatment out-of-state:**

If maltreatment is alleged to have occurred to a North Carolina child while out-of-state by an individual who is not a resident of North Carolina, the agency should refer that report to the state where the alleged maltreatment occurred. If that state refuses to accept the report, North Carolina should conduct the CPS Assessment with assistance from the other state, but if substantiated for abuse and/or serious neglect, the named perpetrator is not eligible for the judicial review process which must take place in the county where the abuse or neglect report arose, and thus may not have their name placed on the RIL.

**C. Child resident of NC, parent/caretaker non-NC resident, maltreatment in NC:**

If a report alleges that a North Carolina child was maltreated in North Carolina by a parent or caretaker who is not a North Carolina resident, it is the responsibility of the county child welfare agency to conduct the CPS Assessment with the other state's assistance. If the case decision results in a substantiation of abuse and/or serious neglect, the alleged responsible individual is eligible for the judicial review process and, if appropriate, to have their name placed on the RIL.

## **V. JUDICIAL REVIEW**

The judicial review process is a district court level hearing on a petition, initiated by the alleged responsible individual for a review of the director's decision to identify the individual as a responsible individual and to place their name on the RIL. The judicial review process is established by NCGS § 7B-323 and NCGS § 7B-324.

The Judicial Review Petition, AOC-J-131 (<http://www.nccourts.org/Forms/Documents/951.pdf>), must be filed within 15 days of receipt of the case decision notification in the district in which the abuse and/or serious neglect arose. Should that timeframe expire, the right to request a judicial review is forfeited, and the individual's name will be placed on the RIL, unless the district court in that county allows a judicial review petition filed outside of that 15-day timeframe to be heard because it serves the interest of justice or for extraordinary circumstances, as per G.S. § 7B323(e).

### **A. CASE DECISION ISSUES & SWITCHING ASSESSMENT TRACKS**

Existing policy states that upon completion of either a family assessment or an investigative assessment, the county child welfare worker is required to notify the parties involved of the case decision. However, only investigative assessment findings of abuse and/or serious neglect are eligible to have the name of the alleged responsible individual placed on the RIL. The case decision can also include other findings in any combination provided at least one of the findings is abuse or serious neglect. The name shall be placed on the RIL only after one of the three criteria outlined earlier in this section is satisfied. Specific requirements for case decision notification in RIL cases are discussed below.

Current child welfare policy allows county child welfare agencies to switch CPS Assessment responses between an investigative assessment and family assessment during the actual assessment. Switching responses during a CPS Assessment should not be done frequently or without a thorough discussion of the case by the county child welfare worker and the county child welfare supervisor. All decisions to change the CPS Assessment response must be done with supervisory approval. Documentation in the file should also clearly show why such a decision was made and how it helped ensure the safety of the child.

Note: While cases of abuse may only be assigned as investigative assessments, cases alleging neglect may initially be assigned as a family assessment. County child welfare agencies must insure that neglect allegations that will result in a finding of serious neglect and that have initially been assigned as family assessments are reassigned as investigative assessments prior to case decision. Additionally, prior to case decision, the family shall be notified by the agency that the family assessment process is ending and that the case is being reassigned as an investigative assessment. The county child welfare agency shall also review with the family the differences between family and investigative assessments, including the potential for RIL placement.

Regardless of the response under which the report was accepted, if the case decision is to substantiate abuse and/or serious neglect after an investigative assessment, the name(s) of the perpetrator(s) is/are to be entered on the Report to the Central Registry, DSS-5104, (<http://info.dhhs.state.nc.us/olm/forms/dss/dss-5104.pdf>).

When completing a family assessment, the finding will be reported to the Central Registry with no perpetrator information entered, therefore the RIL process is not available.

North Carolina Administrative Code 10A NCAC 70A .0102 (<http://ncrules.state.nc.us/ncac/title%2010a%20>- specifies that county child welfare agencies continue to be responsible for the delivery of protective services and for ensuring the safety of children during the judicial review process. While this rule references the former RIL expunction process, it should be interpreted to be applicable to the current judicial review process. If the county child welfare agency determines that the family is unwilling to accept critically needed services, or despite the agency's efforts to provide or arrange for those services, the parents have made no progress toward providing adequate care sufficient to ensure the safety of the child, the agency maintains the ability to file a juvenile petition alleging abuse, neglect, and/or dependency.

During the judicial review process, if the county child welfare agency determines that protective services are no longer necessary and case closure is appropriate, nothing in the judicial review process should prevent the closure of the case.

#### **B. CASE DECISION NOTIFICATION (G.S. § 7B-320)**

G.S. § 7B-320(a) ([http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_7B/GS\\_7B-302.html](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/GS_7B-302.html)) states, "after the completion of an investigative assessment that results in a determination of abuse or serious neglect and the identification of a responsible individual, the director shall personally deliver written notice of the determination to the identified individual." Thus, after a case decision is made to substantiate any combination of abuse and/or serious neglect which identifies an alleged responsible individual, that individual must receive notice in an expeditious manner, regarding the RIL. In other words, placement on the RIL is not discretionary.

The county child welfare worker shall make face-to-face contact with the alleged responsible individual after the case decision to explain the reason for the substantiation and to provide written notice of the potential for his or her name to be placed on the RIL. It is permissible for a county child welfare worker other than the county child welfare worker who conducted the CPS Assessment to deliver the case decision / RIL placement notice. In addition to documentation in the file, when possible, it is recommended that the notice include an acknowledgement by the alleged responsible individual that they received the case decision / RIL placement notice and the date received.

If it is not possible to make face-to-face contact with the alleged responsible individual to deliver the written notice expeditiously, the county child welfare worker shall make diligent and persistent efforts to make contact. However, if the county child welfare worker is

unsuccessful in contacting the alleged responsible individual to provide personal written notice within 15 days of the case decision, the notice shall be sent by registered or certified mail, return receipt requested, and addressed to the individual at the individual's last known address.

If the case decision / RIL placement notice is returned as undeliverable or signed by someone other than the alleged responsible individual, the individual's name shall not be placed on the RIL, unless the procedures of NCGS 7B-320(a1) are used. If the director cannot show that the individual has received actual notice, the director shall not place the individual on the RIL until an ex parte hearing is held at which a district court judge determines that the director made diligent efforts to find the individual. A finding that the individual is evading service is relevant to the determination that the director made diligent efforts.

Note: If there is a lack of identifying information for the alleged responsible individual, such as a date of birth or Social Security Number (SSN), but the individual did receive the notice, it is permissible to place the name on the RIL provided that there is at least one identifier. However, if the notice is undeliverable and there is no identifying information, the name shall not go on the RIL.

NCGS § 7B-320(c) specifies that the personal written notice to the responsible individual shall contain the following:

1. A thorough, detailed statement summarizing the substantial evidence supporting the decision to substantiate abuse and/or serious neglect (without identifying the reporter or collateral contacts) and that the individual has been identified as the responsible individual. The case decision can also include other findings in any combination provided at least one of the findings is abuse or serious neglect. When this occurs, the notice to the individual shall also include language that indicates the agency will continue to work with the family on an involuntary basis
2. A statement, in accordance with NCGS § 7B-320(c)(3), informing the individual that unless the individual petitions for a judicial review within the specified timeframe (15 days), their name will be placed on the RIL, and that NC DHHS may provide information from that list to child caring institutions, child placing agencies, group home facilities, and other providers of foster care, child care, or adoption services (including Guardian ad Litem) that need to determine the fitness of individuals to care for or adopt children as permitted by NCGS § 7B-311.
3. A clear description of the actions the individual must take to request a judicial review to prevent the placement of their name on the RIL. These instructions shall include a copy of the Petition for Judicial Review.

An example of a case decision letter is provided. However, the letter may be altered to individualize it. The letter may read:



Date

Name  
Address  
City, State, ZIP  
Dear \_\_\_\_\_,

This agency has completed a Child Protective Services (CPS) Investigative Assessment based on the allegations of:

\_\_\_\_\_  
This Child Protective Services (CPS) Assessment has been substantiated based on the following:

\_\_\_\_\_  
As a result, a case decision to substantiate (or find) abuse and/or serious neglect has been made. In addition, the case decision also found neglect and/or dependency (Optional). This substantiation also identifies you as a person responsible for the abuse and/or serious neglect and with that comes the potential for your name to be placed on the Responsible Individuals List (RIL).

The RIL is a list of individuals determined to be responsible for the abuse and/or serious neglect of a juvenile. Information from this list may be released to certain employers (G.S. § 7B-311(b)) such as: child caring institutions, child placing agencies, group home facilities, and other providers of foster care, child care, or adoption services (including the Guardian Ad Litem). Information released shall be used to determine fitness to care for or adopt children.

To request that a district court judge review the case decision identifying you as a person responsible for abuse and/or serious neglect, a Petition for Judicial Review: Responsible Individuals List (AOC-J-131) must be filed. North Carolina law (G.S. § 7B-323) states that this Petition must be filed within 15 days from your receipt of this letter. This Petition for Judicial Review should be filed with the clerk of court in \_\_\_\_\_ County. Should you choose to file a Petition for Judicial Review, your name will not be placed on the RIL unless the court finds you are an individual responsible for the abuse and/or serious neglect of a child. If you chose not to file a Petition for Judicial Review within 15 days, your name will automatically be placed on the RIL.

G.S. § 7B-320(b) provides that, at the judicial review hearing, the director shall have the burden of proving by a preponderance of the evidence the abuse or serious neglect and the identification of the individual seeking judicial review as a responsible individual. The hearing shall be before a judge without a jury, and the rules of evidence applicable to civil cases shall apply. However, the court in its discretion may permit the admission of any reliable and relevant evidence if the general purposes of the rules of evidence and the interests of justice will best be served by its admission.

G.S. § 7B-323(c) further provides that the parties have the right to present relevant sworn evidence, law, or rules, the right to represent themselves or obtain the services of an attorney at their own expense, and the right to subpoena witnesses, cross examine witnesses of the other party and make a closing argument.

In the event that there are extraordinary circumstances that prevent you from filing for a judicial review with 15 days, NCGS § 7B-323(e) allows you to file a Petition for Judicial Review and a district court judge in \_\_\_\_\_ County has discretion to determine whether the judicial review hearing should be held.

Should you have further questions regarding the placement of your name on the RIL, please contact:  
\_\_\_\_\_ at \_\_\_\_\_.

Sincerely,

\_\_\_\_\_  
Child Welfare Worker

\_\_\_\_\_  
Child Welfare Supervisor

Alleged Responsible Individual signature/initial \_\_\_\_\_ Date \_\_\_\_\_

This acknowledges only the receipt of this letter, not agreement with the finding of abuse and/or serious neglect.

### C. PETITION FOR JUDICIAL REVIEW (NCGS § 7B-323)

A Petition for Judicial Review must be filed within 15 days of the receipt of the case decision/RIL placement notice by the alleged responsible individual. The Petition for Judicial Review must be filed with the district court in the county where the abuse and/or serious neglect arose. Upon filing, the clerk of court will calendar the case for hearing within 45 days. The county child welfare director who made the determination to identify the alleged responsible individual, and the petitioner, will be sent a Notice of Hearing. If the individual fails to file the Petition for Judicial Review within 15 days of receipt of the case decision/RIL placement notice, the right to request a judicial review is waived, unless the individual utilizes the provisions of NCGS § 7B-323(e) described above. This failure to request a judicial review will result in the placement of the alleged responsible individual's name on the RIL.

#### 1. DIRECTOR'S REVIEW AND DETERMINATION

Once notified that a judicial review has been calendared, the director shall review all records, reports, and other information gathered and used during the CPS Assessment case decision process. If, after reviewing the information gathered, the director determines that there is not sufficient evidence to support a determination that the individual abused and/or seriously neglected the juvenile and is a responsible individual, the director shall prepare a written statement of the director's determination and deliver it to the responsible individual. It is permissible for the director's designee to deliver the letter. The letter may also be sent by first class mail. The individual's name may not be placed on the RIL.

Note: If a determination is made that there was not sufficient evidence to support a determination of abuse and/or serious neglect, but that a finding of neglect and/or dependency was properly made as a part of the original case decision, the statement provided to the individual and the clerk of court shall include language that indicates the agency will continue to work with the family on an involuntary basis without the individual being placed on the RIL.

NCGS 7B-323(b1) provides that the clerk of court, upon receipt of the director's letter finding no abuse or serious neglect, will cancel the judicial review hearing with notice of cancellation given to the petitioner.

## **2. CONFLICT OF INTEREST**

When another county, as a result of a conflict of interest, conducts the CPS Assessment, the request for judicial review following notification of an alleged responsible individual must still be made to the district court in the county where the abuse and/or serious neglect arose (where the incident occurred). However, it is the director of the county that made the case decision of abuse and/or serious neglect and responsible individual determination who is responsible for reviewing that case decision upon notification of a pending judicial review and for presenting evidence in the judicial review held in the county where the report arose.

## **3. PERSONS INELIGIBLE FOR JUDICIAL REVIEW**

NCGS § 7B-324(a) provides that an individual identified by a director as a responsible individual is not eligible for judicial review if any of the following apply:

- The individual is criminally convicted because of the same incident. The district attorney shall inform the director of the result of the criminal proceeding, or
- NCGS 7B-324(a1) further provides that if the individual is criminally convicted as a result of the same incident after the petition for judicial review is filed, the court shall dismiss the petition for judicial review with prejudice.

Note: when a case is dismissed with prejudice it means that it is dismissed permanently and can't be brought back to court.

- After proper notice, the individual fails to file for judicial review with the district court in a timely manner.

This same statute provides that if, at any time during the judicial review process, the individual seeking the judicial review is named as a respondent in a juvenile court case or a defendant in a criminal court case resulting from the same incident, the court may stay the judicial review process. The juvenile court action may no longer be consolidated with the RIL judicial review.

## **D. JUDICIAL REVIEW PROCESS**

Throughout the judicial review process, the following shall apply:

- The rules of civil procedure
- The right to present sworn evidence, law, or rules
- The right of responsible individuals to represent themselves or obtain the services of an attorney at their own expense
- The right to subpoena witnesses, cross-examine witnesses of the other party, and make a closing argument.

However, upon request of a party, the court shall close the hearing to all persons, except court officers, the parties, their witnesses of the alleged responsible individual, and law enforcement investigating the same allegations. The director has the burden of proving by a preponderance of the evidence that the case decision of abuse and/or serious neglect and placement of the person's name on the RIL is correct.

The rules of evidence in civil cases apply. However, upon judicial determination, other reliable and relevant evidence may be admissible; such as child medical evaluations reports, child and family evaluation reports and/or other reports that the director relied upon to make the determination of abuse or serious neglect. Because of the nature of this hearing, the county child welfare social worker should be prepared to give personal testimony and/or to provide the case file if requested. This hearing shall be before a judge without a jury. The alleged responsible individual and the director are parties to the action. The judicial review process does not provide for the involvement of a Guardian Ad Litem, as per NCGS § 7B-601 ([http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_7B/G\\_S\\_7B-601.html](http://www.ncga.state.nc.us/EnactedLegislation/Statutes/HTML/BySection/Chapter_7B/G_S_7B-601.html)).

#### **JUDICIAL DETERMINATION (NCGS § 7B-323(d))**

NCGS § 7B-323(d) provides that within 30 calendar days of the conclusion of the judicial review hearing, the court shall sign and enter a written order containing findings of fact and conclusions of law.

That statute further provides that if the court concludes that the director has established by a preponderance of the evidence abuse or serious neglect and the identification of the individual seeking judicial review as the responsible individual, the court shall order the director to place the individual's name on the RIL.

If the court concludes that the director has not established by a preponderance of the evidence abuse or serious neglect or the identification of the responsible individual, the court shall reverse the director's determination and order the director not to place the individual's name on the RIL.

If the court determines only that there was insufficient evidence to establish that the alleged responsible individual was the person responsible for abuse or serious neglect of a child, the individual's name may not go on the RIL. However, the status of the child as abused or seriously neglected is unchanged.

In this instance, the county child welfare agency would need to decide whether this family requires ongoing, involuntary services to protect the child. While the court did not make a determination about the agency's case decision, the court's findings may affect its ability to continue providing ongoing, involuntary services.

The agency may still have grounds to petition the court to adjudicate the child as abused, neglected, and/or dependent without a responsible individual finding.

The responsible individual or the director may appeal the district court's decision. Notice of Appeal of the District Court's order will not prohibit the director from placing that responsible individual's name on the RIL.

If the Court of Appeals reverses the district court's finding and orders that an individual's name be removed from the RIL, the director will notify NC DSS and request that individual's name be removed.

## **VI. DSS-5104a FORM COMPLETION: FIELDS AND CODES**

All CPS Assessments utilizing the investigative assessment track shall include a discussion with the family that, as a part of the investigative assessment, a case decision to substantiate abuse and/or serious neglect carries with it the potential for the responsible individual's name to be placed on the RIL. The Responsible Individual's List form, DSS-5104a (<http://info.dhhs.state.nc.us/olm/forms/dss/dss-5104a.pdf>), is the mechanism by which the placement of the responsible individual's name on the RIL occurs.

If the director is notified that a Petition for Judicial Review has been filed, staff will enter the information regarding the judicial review at the conclusion of the judicial review hearing via the DSS-5104a, (Fields 13-18). The name of the responsible individual is only placed upon the RIL if the court makes that determination. If the determination of the court is that the name is to be placed on the RIL, the Central Registry will automatically be updated to reflect the decision of the court on the Petition for Judicial Review once the DSS-5104a is entered.

If the alleged responsible individual fails to file a Petition for Judicial Review within the timeframe allowed (15 days), the original decision of the director stands, and staff will enter information regarding the original decision of the director to identify the perpetrator as a responsible individual (Fields 24-26). The Central Registry will automatically be updated to reflect the decision of the director when the DSS-5104a is entered.

When the DSS-5104a is initially opened for data entry, Fields 1-11 will be auto-populated from the case in the Report to Central Registry. The remaining fields document the process of placing the name of the alleged responsible individual on the RIL. The form is meant to provide as accurate a timeline as possible and track events that occurred. The form is updated as needed and data entered once the appropriate processes are complete.

Due to system requirements, the agency will not be able to enter information as it becomes available but must wait until each process is complete before keying. For instance, in cases where a Petition for Judicial Review is filed, the date the AOC-J-131 is filed (Field 13) cannot be keyed until the information for Date of Judicial Review (Field 14), Director Determination (Field 15), JR Determination (Field 16), and Date Judicial Review Signed (Field 18) is also available.

The single exception is in cases where the director is responsible for placing someone on the RIL. Fields 24 (RIL Code) and 25 (Date of RIL Placement) should be keyed as soon as possible and not be held until the Responsible Individual has been criminally convicted, if applicable. The system will allow the Date of Criminal Conviction (Field 28) to be keyed at a later time.

A. RESPONSIBLE INDIVIDUALS LIST FUNCTIONS

The RIL can be accessed through the Central Registry system main menu by selecting Option 9.

```

SY01  CYA001FM                                DATE: 09/23/2011
                                                TIME: 12:53:47

                STATE OF NORTH CAROLINA
                DEPARTMENT OF HUMAN RESOURCES
                CENTRAL REGISTRY SELECTION MENU

                FUNCTION                                KEY                                SELECTIONS
DSS-5104 ENTRY                                FORM NUMBER                                1
DSS-5104 INQUIRY                                FORM NUMBER                                2
DSS-5104 CHANGES                                FORM NUMBER                                3

VICTIM NAME DISPLAY                                LAST, FIRST, MI                                4
SOUNDEX VICTIM NAME DISPLAY                                LAST, FIRST, MI                                5
PERPETRATOR NAME DISPLAY                                LAST, FIRST, MI                                6

ADMINISTRATIVE MENU                                7
FATALITIES MENU                                8

RESPONSIBLE INDIVIDUALS LIST MENU                                9

                SELECTION _ KEY

CYA261 - PLEASE MARK A SELECTION.
  
```

The RIL menu has 7 functions:

```

RIL010FM                                RESPONSIBLE INDIVIDUAL LIST                                09/23/2011
                                                MAIN MENU                                12:55:03

                OPTIONS                                DESCRIPTION                                KEY
-----
1 DSS-5104A INQUIRY                                RIL NUMBER
2 DSS-5104A UPDATE                                RIL NUMBER
3 DSS-5104A ENTRY                                CYA FORM NUMBER
4 SEARCH BY SSN (INQUIRY/UPDATE)                                RIL SSN
5 SEARCH BY NAME (INQUIRY/UPDATE)                                RIL LAST, FIRST, MI
6 ADMINISTRATIVE MENU
7 RETURN TO CENTRAL REGISTRY

                OPTION _ KEY

PF3= CENTRAL REGISTRY MAIN MENU    PF4= LOGOFF
RIL1010: SELECT OPTION & ENTER REQUIRED FIELDS                                0000

  
```

1. Menu Options

- **DSS-5104a Inquiry:** allows the RIL form number to be entered to view the RIL entry.

Key "1" as the selection followed by the RIL form number. This will display the DSS-5104a record. The Inquiry function displays a view-only screen and no changes or updates may be made.

```
RILO20FM          RESPONSIBLE INDIVIDUAL LIST          DATE: 09/26/2011
                   RIL INQUIRY                        09:33:53
RIL FORM: 000015
RESPONSIBLE INDIVIDUAL
  LAST NAME      FIRST NAME      MI      DOB      AGE      RACE      SEX      SSN
PERPETRATOR     SECOND
062             N15654             06012011 06011983 028      01        2        333113333
INVESTIGATIVE ASSESSMENT FINDINGS
  CTY      CYA FORM      INITIAL REPORT      CASE DECISION      RIL IND      NOTICE DEL
  062      N15654             06012011             06302011             1D             07012011
JUDICIAL REVIEW (AOC-J-131) HEARING
  DATE J131 FILED      JUD REV DATE      DIR DETERM      JR DETERM      JR SIGNED
JUVENILE PETITION (AOC-J-130)
  DATE J130 FILED      DATE ADJUDICATION      ADJ FIND      RIL FIND      JP SIGNED
ORIGINAL RIL INDICATOR STATUS DSS-5104
  RIL CODE      DATE RIL PLACEMENT      DATE CRIM CONVICTION
  1D             07202011
PF3 = PREV SCREEN      PF9 = CONFIRM      PF10 = CANCEL
RIL2003: DISPLAYED. ENTER NEW RIL OR PF3 EXIT
03/13
```

- **DSS-5104a Update:** This field allows for the updating of the RIL record.



Key "2" as the selection followed by the RIL form number. This will display the DSS-5104a record. Only those fields that do not have a value entered may be updated. Fields with values displayed in blue are locked and may not be changed.

```

RIL030FM                RESPONSIBLE INDIVIDUAL LIST                DATE: 09/26/2011
                        RIL UPDATE                                10:50:50
RIL FORM: 000014
RESPONSIBLE INDIVIDUAL
  LAST NAME  FIRST NAME  MI  DOB  AGE  RACE  SEX  SSN
  PERPETRATOR  FIRST  06011979  032  01  1  111221111
INVESTIGATIVE ASSESSMENT FINDINGS
  CTY  CYA FORM  INITIAL REPORT  CASE DECISION  RIL IND  NOTICE DEL
  062  N15654  06012011  06302011  1D  07012011

JUDICIAL REVIEW (AOC-J-131) HEARING
  DATE J131 FILED  JUD REV DATE  DIR  DETERM  JR DETERM  JR SIGNED

JUVENILE PETITION (AOC-J-130)
  DATE J130 FILED  DATE ADJUDICATION  ADJ FIND  RIL FIND  JP SIGNED

ORIGINAL RIL INDICATOR STATUS DSS-5104
  RIL CODE  DATE RIL PLACEMENT  DATE CRIM CONVICTION
  1D  07302011

PF3 = PREV SCREEN  PF9 = CONFIRM  PF10 = CANCEL
RIL3001: ENTER CLIENT CHANGES
  
```

If data is entered incorrectly or in error, a DSS-5104d (<https://www2.ncdhhs.gov/info/olm/forms/dss/dss-5104d-ia.pdf>) must be submitted to the Division for the appropriate modification or deletion.

- **DSS-5104a Entry:** allows for the initial entry of a DSS-5104a.

Key "3" as the selection and the corresponding DSS-5104 (Central Registry/CYA) number.

A screen will appear listing all perpetrators associated with the DSS-5104. Users will be able to select which perpetrator(s) to enter the DSS-5104a.

```

RIL040FM                RESPONSIBLE INDIVIDUAL LIST                9/23/2011
                        PERPETRATOR DISPLAY                        13:00:36
  CYA FORM  N15654
SEL  NAME  DOB  AGE  S  SSN  RIL
  S  PERPETRATOR  FIRST  06011979  032  1  111221111  00
  PERPETRATOR  SECOND  06011983  028  2  333113333  00
  PERPETRATOR  THIRD  06011989  022  2  555225555  00

ENTER 'S' NEXT TO PREPETRATOR SELECTION

PF3 = PREV SCREEN  PF10 = CANCEL
RIL4009: PERPS DISPLAYED, PERP(S) ELIGIBLE FOR ENTRY ARE IN WHITE.
  
```

Once a perpetrator has been selected, the DSS-5104a screen will display with Fields 1-12 auto populated from the Central Registry. The RIL form number will be displayed at the top left of the screen.

```
RILOOOFM          RESPONSIBLE INDIVIDUAL LIST          DATE: 09/23/2011
                  RIL ENTRY                               13:17:45
RIL FORM: 000015
RESPONSIBLE INDIVIDUAL
  LAST NAME      FIRST NAME      MI      DOB      AGE      RACE      SEX      SSN
PERPETRATOR     SECOND
INVESTIGATIVE ASSESSMENT FINDINGS
  CTY      CYA FORM      INITIAL REPORT      CASE DECISION      RIL IND      NOTICE DEL
  062      N15654      06012011      08302011      00      -
JUDICIAL REVIEW (AOC-J-131) HEARING
  DATE J131 FILED      JUD REV DATE      DIR      DETERM      JR DETERM      JR SIGNED
JUVENILE PETITION (AOC-J-130)
  DATE J130 FILED      DATE ADJUDICATION      ADJ FIND      RIL FIND      JP SIGNED
ORIGINAL RIL INDICATOR STATUS DSS-5104
  RIL CODE      DATE RIL PLACEMENT      DATE CRIM CONVICTION
PF3 = PREV SCREEN      PF9 = CONFIRM      PF10 = CANCEL
RIL4015: ENTER DSS-5104A DATA
09/70
```

When all of the information regarding the perpetrator has been entered the message “DSS-5104 VALIDATED. PF9 ADD TO RIL OR PF10 CANCEL RIL.” will display at the bottom of the screen. The user will be returned to the RIL entry screen and the message “FORM PROCESSED.PERP(S) IN GREEN. ENTER NEW CYA FORM OR PF3 EXIT” will be displayed.

If there are additional perpetrators from the DSS-5104 that should be added to the RIL, they may be selected and added. If all perpetrators that are Responsible Individuals have been added, press PF3 to return to the main menu. When all perpetrators on the DSS-5104 have had a DSS-5104a entered, the message “ALL PERPETRATORS OF THIS FORM HAVE BEEN ADDED” will be displayed.

Not all perpetrators on a particular DSS-5104 should necessarily have an associated DSS-5104a. There should only be one DSS-5104 entered for the assessment which should include all perpetrators. However, some perpetrators may not be appropriate for placement on the RIL. In that case, simply do not key a DSS-5104a for those perpetrators, and they will continue to show in white.

Only those DSS-5104s that have at least one type found of “1” Abuse, “2S” Serious Neglect, “3” Abuse and Neglect “3S” Abuse and Serious Neglect, or “2N’ Serious Neglect and Neglect are eligible for entry in RIL. If none of these values are present an error message “FORM DOES NOT PERMIT RIL ENTRY” will appear.

- **SSN Search:** This option is used to search for a responsible individual by their social security number.
  - i. Key "4" as the selection then the SSN as the key.

```

RIL010FM                RESPONSIBLE INDIVIDUAL LIST                09/23/2011
                          MAIN MENU                                13:06:22

      OPTIONS              DESCRIPTION                            KEY
      -----              -----                            -----
      1                    DSS-5104A INQUIRY                    RIL NUMBER
      2                    DSS-5104A UPDATE                    RIL NUMBER
      3                    DSS-5104A ENTRY                     CYA FORM NUMBER
      4                    SEARCH BY SSN (INQUIRY/UPDATE)       RIL SSN
      5                    SEARCH BY NAME (INQUIRY/UPDATE)      RIL LAST, FIRST, MI
      6                    ADMINISTRATIVE MENU
      7                    RETURN TO CENTRAL REGISTRY

      OPTION 4      KEY 111221111_

PF3=  CENTRAL REGISTRY MAIN MENU      PF4= LOGOFF
RIL1010: SELECT OPTION & ENTER REQUIRED FIELDS                00000
  100.1                                18/33
  
```

- ii. Results will display as shown below. Users may select a specific record for Inquiry "I" or Update "U", depending on their access level.

```

RIL050FM                RESPONSIBLE INDIVIDUAL LIST REGISTER      09/23/2011
                          SOCIAL SECURITY NUMBER SEARCH           15:23:55

S  FORM *****NAME*****          SSN      DOB      S  RL  RPT DATE CASE DEC
_  000014 PERPETRATOR      FIRST      111221111 06011979 1  1D  06012011 06302011

NEW SEARCH==>
I= CLIENT INQUIRY  U = CLIENT UPDATE
PF3= PREV MENU    PF7= PAGE BACK    PF8= PAGE FORWARD
RIL5008: NO MORE NAMES.
  100.3                                14/29
  
```

- **Name Search:** This option is used to search for a responsible individual by name.

i. Key "5" as the selection then the individual's last name, first name, first initial as the key. Do not leave spaces between the names. Wildcard searches may also be performed by entering a partial name and an asterisk (\*), as shown below.

ii.

```

RIL010FM              RESPONSIBLE INDIVIDUAL LIST              09/23/2011
                       MAIN MENU                               15:33:22

-----
OPTIONS                DESCRIPTION                            KEY
-----
1      DSS-5104A INQUIRY                                     RIL NUMBER
2      DSS-5104A UPDATE                                     RIL NUMBER
3      DSS-5104A ENTRY                                       CYA FORM NUMBER
4      SEARCH BY SSN (INQUIRY/UPDATE)                       RIL SSN
5      SEARCH BY NAME (INQUIRY/UPDATE)                       RIL LAST, FIRST, MI
6      ADMINISTRATIVE MENU
7      RETURN TO CENTRAL REGISTRY

OPTION 5      KEY Perpet*_

PF3=  CENTRAL REGISTRY MAIN MENU      PF4= LOGOFF
RIL1010: SELECT OPTION & ENTER REQUIRED FIELDS                00000
MID  :00.1                                                  18/31
  
```

iii. Results will be shown as below. Users may select a specific record for Inquiry "I" or Update "U", depending on their access level.

```

RIL060FM              RESPONSIBLE INDIVIDUAL LIST REGISTER    09/23/2011
                       CLIENT NAME SEARCH                     15:28:56

S  FORM *****NAME*****          SSN      DOB      S  RL  RPT  DATE  CASE  DEC
-  000014 PERPETRATOR      FIRST    111221111 06011979 1  1D  06012011 06302011
-  000011 PERPETRATOR      PERP     888888888 05011983 1  1D  05012011 05202011
-  000015 PERPETRATOR      SECOND   333113333 06011983 2  1D  06012011 06302011

NEW SEARCH==>
I= CLIENT INQUIRY      U = CLIENT UPDATE
PF3= PREV SCREEN      PF7= PAGE BACK      PF8= PAGE FORWARD
RIL6006: SELECTION MUST BE EITHER 'I' OR 'U' - REENTER

MID  :00.1                                                  15/42
  
```

- **Administrative Menu:** allows for functions not available to all users.
- **Return to Central Registry:** Key "7" to return to the Central Registry.

- **Log off:** allows the user to logoff. When “F3” is pressed twice, a blank screen will show and the user then types “logoff” and press enter. The screen will then return to the main state banner screen.

#### **V. RESPONSIBLE INDIVIDUALS’ INFORMATION (FIELDS 1 THROUGH 11)**

Fields 1-6 contain information regarding the identity of the responsible individual when the type found code entered into the DSS 5104 is a “1” (Abuse), “3” (Abuse and Neglect), “3S” (Abuse and Serious Neglect), “2N” (Serious Neglect and Neglect) or a “2S” (Serious Neglect).

Fields 7-11 contain addition information regarding the CPS Assessment. These fields are auto-populated from the Report to Central Registry (DSS-5104) and cannot be changed.

##### **FIELD 1 - RESPONSIBLE INDIVIDUAL NAME**

(Automatically populated from the Central Registry’s Field 33)

The name will display exactly as it appears in the Central Registry.

##### **FIELD 2 - DATE OF BIRTH**

(Automatically populated from the Central Registry’s Field 34)

The date of birth will appear exactly as it appears in the Central Registry. Without a date of birth or SSN, the name shall not be placed on the RIL.

##### **FIELD 3 – AGE**

(Automatically populated from the Central Registry’s Field 35)

The age of the individual will be calculated from the entry in Field 2. Should the date of birth be unknown, an “E” will appear indicating the age as estimated.

##### **FIELD 4 – RACE and ETHNICITY**

(Automatically populated from the Central Registry’s Field 36)

##### **FIELD 5 - SEX**

**NC DSS  
CPS Data Collection (Non-NC FAST)  
Appendix 1**

January 2024

(Automatically populated from the Central Registry's Field 37)

The responsible individual's sex will be displayed using one of the following one-digit codes:

Code	Value
1	Male
2	Female
3	Gender Non-Conforming

**FIELD 6 - SOCIAL SECURITY NUMBER**

(Automatically populated from the Central Registry's Field 38)

Without a date of birth or SSN, the name shall not be placed on the RIL.

**FIELD 7 - COUNTY**

(Automatically populated from the Central Registry's Field 1)

<u>Co. #</u>	<u>County Name</u>	<u>Co. #</u>	<u>County Name</u>	<u>Co. #</u>	<u>County Name</u>	<u>Co. #</u>	<u>County Name</u>
01	Alamance	26	Cumberland	51	Johnston	76	Randolph
02	Alexander	27	Currituck	52	Jones	77	Richmond
03	Alleghany	28	Dare	53	Lee	78	Robeson
04	Anson	29	Davidson	54	Lenoir	79	Rockingham
05	Ashe	30	Davie	55	Lincoln	80	Rowan
06	Avery	31	Duplin	56	Macon	81	Rutherford
07	Beaufort	32	Durham	57	Madison	82	Sampson
08	Bertie	33	Edgecombe	58	Martin	83	Scotland
09	Bladen	34	Forsyth	59	McDowell	84	Stanly
10	Brunswick	35	Franklin	60	Mecklenburg	85	Stokes
11	Buncombe	36	Gaston	61	Mitchell	86	Surry
12	Burke	37	Gates	62	Montgomery	87	Swain
13	Cabarrus	38	Graham	63	Moore	88	Transylvania
14	Caldwell	39	Granville	64	Nash	89	Tyrrell
15	Camden	40	Greene	65	New Hanover	90	Union

16	Carteret	41	Guilford	66	Northampton	91	Vance
17	Caswell	42	Halifax	67	Onslow	92	Wake
18	Catawba	43	Harnett	68	Orange	93	Warren
19	Chatham	44	Haywood	69	Pamlico	94	Washington
20	Cherokee	45	Henderson	70	Pasquotank	95	Watauga
21	Chowan	46	Hertford	71	Pender	96	Wayne
22	Clay	47	Hoke	72	Perquimans	97	Wilkes
23	Cleveland	48	Hyde	73	Person	98	Wilson
24	Columbus	49	Iredell	74	Pitt	99	Yadkin
25	Craven	50	Jackson	75	Polk	00	Yancey

Field 8 - Central Registry Form Number  
(The DSS-5104 number assigned to the record when created in the Central Registry.)

Field 9 - Date of Initial Report  
(Automatically populated from the Central Registry's Field 5)

Field 10 – Date of Case Decision  
(Automatically populated from the Central Registry's Field 7)

Field 11 – RIL Indicator Status  
(Automatically populated from the Central Registry's Field 39)

This field will initially show as “00” to reflect at the time of entry this individual is not on the RIL. No entry in this field is allowed.

When the DSS-5104a is completed, this field will automatically update based on the entry in Fields 16, 22 and 24 which populate Field 39 on the DSS-5104.

**Field 12 - Date Notice to the Responsible Individual Delivered / ex parte order entered [ENTRY REQUIRED]**

Enter the date (in the eight-digit numeric MMDDYYYY format) that the notice to the responsible individual was delivered. This date cannot precede the Date of Case Decision listed in Field 10 on the DSS-5104. **If the responsible individual is unable to be located, enter the date a judge ordered an ex parte.**

Enter the date (in the eight-digit numeric MMDDYYYY format) that the notice to the responsible individual was delivered. This date cannot precede the Date of Case Decision listed in Field 10 on the DSS-5104.

**VI. JUDICIAL REVIEW HEARING - FIELDS 13 THROUGH 18**

The alleged responsible individual has 15 days from the delivery date of the case decision notice to file a petition requesting a judicial review. Fields 13-18 will document the decision of the court and whether the alleged responsible individual's name will appear on the RIL.

Field 13 - Date AOC-J-131 Filed  
(ENTRY REQUIRED IF APPLICABLE)

Enter the date (in the eight-digit numeric MMDDYYYY format) that the Petition for Judicial Review was filed by the alleged responsible individual. This date cannot be earlier than the date in Field 12. Once there is an entry for this field, it cannot be modified or changed by county users. A modification to this field requires the submission of a DSS-5104d to NCDSS.

Field 14 - Date of Judicial Review  
(ENTRY REQUIRED IF APPLICABLE)

If there is a value entered in Field 13, this is a required field.

Enter the date (in the eight-digit numeric MMDDYYYY format) that the judicial review hearing was held. Once there is an entry for this field, it cannot be modified or changed by county users. A modification to this field requires the submission of a DSS-5104d to NCDSS.

Field 15 - Director Determination  
(ENTRY REQUIRED IF APPLICABLE)

If there is a value entered in Field 13, this is a required field.



Enter the appropriate two-digit code regarding the director’s determination regarding the appropriateness of the case decision using one of the following codes:

<b>Code</b>	<b>Value</b>
01	The Director determined the name should be on the RIL
02	The Director determined that the name should not be on the RIL

Once there is an entry for this field, it cannot be modified or changed by county users. A modification to this field requires the submission of a DSS-5104d to NCDSS.

Field 16 - Judicial Review Determination  
(ENTRY REQUIRED IF APPLICABLE)

If there is a value in Field 13, this field is required.

Enter the two-digit code regarding the court’s determination using one of the following codes:

<b>Code</b>	<b>Value</b>	<b>RIL Placement?</b>
0J	No RIL finding/No serious neglect or abuse	No
1J	Abuse / RIL Placement	Yes
2J	Serious Neglect / RIL Placement	Yes
3J	Abuse and Serious Neglect / RIL Placement	Yes
4J	Abuse and Neglect / RIL Placement	Yes
5J	Serious Neglect and Neglect / RIL Placement	Yes

The use of Code 0J reflects those situations where the district court has determined, after a judicial review, that the director did not meet the burden to show that the case decision of abuse and/or serious neglect was correct or determined that the named individual was not shown to be the individual responsible for that abuse and/or serious neglect.

Once there is an entry into this field, it cannot be modified or changed by county users. A modification to this field requires the submission of a DSS-5104d to the NCDSS.

Field 17 – Reserved for Future Use  
(NO ENTRY)

Field 18 - Date of Judicial Review Signed  
(ENTRY REQUIRED IF APPLICABLE)

If there is a value in Field 13, this field is required.

Enter the date (in the eight-digit numeric MMDDYYYY format) that the presiding judge signed the court order placing the name on the RIL.

This date cannot precede the date of the judicial review listed in Field 14. Once there is an entry for this field, it cannot be modified or changed by county users. A modification to this field requires the submission of a DSS-5104d to NCDSS.

**VII. JUVENILE PETITION - FIELDS 19 THROUGH 23**

As of October 1, 2013, Juvenile Petitions will no longer be used to determine an Individual’s placement on the RIL. Fields 19-23 will now be “reserved” for future needs.

**VIII. DIRECTOR DETERMINATION - FIELDS 24 THROUGH 29**

Fields 24 and 25 must be completed when the perpetrator is identified as a responsible individual and fails to file a Petition for a Judicial Review.

Field 24 - RIL Code  
(ENTRY REQUIRED IF APPLICABLE)

Enter the appropriate two-digit code regarding the director’s determination using one of the following codes:

<b>Code</b>	<b>Value</b>	<b>RIL Placement?</b>
1D	Abuse / RIL Placement	Yes
2D	Serious Neglect / RIL Placement	Yes
3D	Abuse and Serious Neglect / RIL Placement	Yes
4D	Abuse and/or Neglect and Other Finding/RIL Placement	Yes
5D	Serious Neglect and Neglect / RIL Placement	Yes
1D	Abuse / RIL Placement	Yes
2D	Serious Neglect / RIL Placement	Yes

The director's determination may be different than the type found of the case decision. Therefore, the dates in Fields 11 (Type Found) and 24 (RIL Code) are not required to mirror each other.

Once there is an entry for this field, it cannot be modified or changed by county users. A modification to this field requires the submission of a DSS-5104d to NCDSS.

Field 25 - Date of RIL Placement  
(ENTRY REQUIRED IF APPLICABLE)

If there is a value in Field 24, this field is required.

Enter the date in the eight-digit numeric MMDDYYYY format. This date must be a minimum of 15 days past the case decision date (DSS-5104, Field 7).

Once there is an entry for this field, it cannot be modified or changed by county users. A modification to this field requires the submission of a DSS-5104d to NCDSS.

Field 26 - Reserved for Future Use  
(NO ENTRY)

Field 27 - Reserved for Future Use  
(NO ENTRY)

Field 28 - Date Criminal Order Signed  
(THIS FIELD IS NOT REQUIRED UNLESS THERE IS AN ENTRY IN FIELD 29)

Enter the date (in the eight-digit numeric MMDDYYYY format) that the alleged responsible individual was criminally convicted as a result of the same incident that led the county child welfare agency to its Child Protective Services involvement, if applicable. This date cannot be earlier than the date in Field 10 (Date of Case Decision). A value may be entered after the agency has entered its initial DSS-5104a. However, information on the date of the criminal conviction must be entered no later than 7 days from the date the county child welfare agency receives notice of the criminal conviction.

Once there is an entry for this field, it cannot be modified or changed by county users. A modification to this field requires the submission of a DSS-5104d to NCDSS. No entry is allowed unless there is an entry in Field 29.

**Field 29 - Criminal Code**

(THIS FIELD IS NOT REQUIRED UNLESS THERE IS AN ENTRY IN FIELD 28)

This code will automatically populate to Field 39 on the DSS-5104 (RIL Indicator) only if the individuals is not currently on the RIL and if other data keyed on the same DSS-5104 does not place the name on the RIL. If the person is already on the RIL, entry of data in this field will not have any effect on any other fields.

Only the following codes are permitted:

<b>Code</b>	<b>Value</b>	<b>RIL Placement?</b>
1C	Abuse	Yes
2C	Serious Neglect	Yes
3C	Abuse and Serious Neglect	Yes
4C	Abuse and/or Neglect	Yes
5C	Serious Neglect and Neglect	Yes