

CAPS NCANDS Exceptions Reports - 5371.1 (Detail) and 5371.2 (Summary) Facts and Tips for Easy Use

TABLE OF CONTENTS

<i>Important Information About NCANDS and the Exceptions Reports</i>	2
General Information About NCANDS	2
General Information About the NCANDS Exceptions Reports	2
Scheduling of the NCANDS Process	2
5371.1 – CAPS NCANDS Detailed Data Exceptions Report	2
Tables of Possible Detailed Data Exceptions	3
Example Format of the Detailed Data Exceptions Report	4
5371.2 – CAPS NCANDS Summary Data Exceptions Report	5
Example Format of the Summary Data Exceptions Report	5
Sections of the NCANDS Summary Data Exceptions Report	6
<i>Tips for Working the Detailed Data Exceptions Report</i>	9
Data Quality Exceptions	9
DQ001 – Child Victim Over Age 21	9
DQ002 – Child Victim Race Not Reported on PERD	9
DQ003 – Missing Residential Address on ADDL	10
DQ004 – Report Assigned to Worker with Invalid Contact County	10
DQ005 – More Than Three Perpetrators on Report	10
DQ006 – No Allegations for Child Victim on RRD2	10
DQ007 – Child Victim Birth Date Not Reported on PERD	11
DQ008 – Child Victim Sex Not Reported on PERD	11
DQ009 – Child Victim Hispanic Origin Not Reported on PERD	11
DQ010 – Duplicate Perpetrator Id’s on RRD2	12
DQ011 – Child Victim ID is One of the Unknown CAPS ID’s	12
DQ012 – Perpetrator ID is One of the Unknown CAPS ID’s	13
Programming/Database Exceptions	13
PD001 – Unknown/Missing Report County on RRD1	13
PD002 – Relationship Code Not Found in RPTRLT Code Table	13
PD003 – Residence Address with No County	13
PD004 – Unknown Living Arrangement Code on RRD2	14
PD005 – Missing Court Date on CRTD for Juv Petition	14
PD006 – Invalid Report ID Number on RRD1	14
PD007 – Allegation Code Not Found in CAP27371	14
PD008 – Determination Code Not Found in CAP27371	15
PD009 – Overall Report Disposition Unknown	15
PD010 – Invalid Victim ID	15
PD011 – Invalid Worker ID	15
PD012 – Service Code Not Found in CAP17371	16
PD013 – Court Reason Code Not Found in CAP17371	16
Validation Exceptions	16
VA001 – Date Out of Range	16
VA002 – Invalid Date Field	16
VA003 – Incompatible Race	16

Important Information About NCANDS and the Exceptions Reports

General Information About NCANDS

The National Child Abuse and Neglect Data System (NCANDS) is a national data collection and analysis system created in response to the requirements of the Child Abuse Prevention and Treatment Act (Public Law 93-247) as amended.

CAPS has been reporting data annually to NCANDS since 1998. The NCANDS reporting period is defined by the Federal Fiscal year (i.e. 10/1/xx – 9/30/yy).

To be included in the NCANDS extract, a report referral on RRD1 must be a 'CPS' category referral with a determination end date within the Federal Fiscal year NCANDS is running for. The NCANDS data file is at the child victim level, so there will be one record in the file for each child victim (CATG CD = 'CH' and ROLE CD = 'V' or 'B') on the eligible referral on RRD2.

There are 8 sections of data reported in the NCANDS file:

1. Report Data (RRD1, RRD2)
2. Child Data (PERD, ADDL, RRD2)
3. Child Victim Data (RRD2)
4. Child Risk Factors (CREI, SPND)
5. Caretaker Risk Factors (CREI, SPND)
6. Services (SERP, SERN, CRTD)
7. Staff Data (RRD1, USMD)
8. Perpetrator Data (RRD2, PERD)

General Information About the NCANDS Exceptions Reports

An exceptions report needed to be developed for NCANDS so that data quality errors, programming/database errors and validation errors that are affecting CAPS NCANDS submissions would be easily accessible and could possibly be corrected prior to final submission. There are two NCANDS Exceptions reports – the NCANDS Detailed Data Exceptions Report (5371.1) and the NCANDS Summary Exceptions Report (5371.2).

Scheduling of the NCANDS Process

With the new addition of the NCANDS Exceptions Reports, the NCANDS process has been changed from an annual process to a process that will now run three times a year. The run dates will be the first business days of November, February, and March.

Our final NCANDS file is required to be submitted to the feds by the end of March. Therefore, all data cleanup from the Detailed Data Exceptions Report needs to be completed by the middle of March.

5371.1 – CAPS NCANDS Detailed Data Exceptions Report

The title of the new NCANDS Detailed Data Exceptions Report is "CAPS NCANDS DETAILED DATA EXCEPTIONS REPORT" and it is labeled as Report # 5371.1.

Separate Excel spreadsheets containing the 5371.1 – CAPS NCANDS DETAILED DATA EXCEPTIONS REPORTS will be created for each region (1-5) and for any other region that might have mistakenly been assigned a CPS report in CAPS. These spreadsheet files will be distributed as deemed appropriate by Child and Family Services Division (CFSD).

Note: The region and county in the NCANDS Exceptions reports come from the assigned worker on the report referral. Therefore, if a worker was the last assigned worker to a report referral that has data exceptions, and then that worker transfers to a new position in another region (state office – region 9 for example), those data exceptions may show up under the worker's new region.

Tables of Possible Detailed Data Exceptions

Data Quality Exceptions

<u>Error Code</u>	<u>Error Message</u>	<u>Additional Information</u>
DQ001	Child Victim Age Over 21	CAPS ID: xxxxxxxx DOB: xx/xx/xxxx AGE: xxx
DQ002	Child Victim Race not Reported on PERD	CAPS ID: xxxxxxxx
DQ003	Missing Residential Address on ADDL	CAPS ID: xxxxxxxx
DQ004	Report Assigned to Worker With Invalid Contact County	WKR ID: xxxxxxxx CNTY: xxx
DQ005	More Than 3 Perpetrators on Report	"IS THIS VALID?"
DQ006	No Allegations for Child Victim on RRD2	CAPS ID: xxxxxxxx
DQ007	Child Victim Birth Date not reported on PERD	CAPS ID: xxxxxxxx
DQ008	Child Victim Sex not reported on PERD	CAPS ID: xxxxxxxx
DQ009	Child Victim Hispanic Origin not reported on PERD	CAPS ID: xxxxxxxx
DQ010	Duplicate Perpetrator Id's on RRD2	VIC ID: xxxxxxxx PERP ID: xxxxxxxx
DQ011	Child Victim Id is one of the Unknown CAPS Ids	CAPS ID: xxxxxxxx
DQ012	Perpetrator Id is one of the Unknown CAPS Id's	VIC ID: xxxxxxxx PERP ID: xxxxxxxx

Programming/Database Exceptions

<u>Error Code</u>	<u>Error Message</u>	<u>Additional Information</u>
PD001	Unknown/Missing Report County on RRD1	CNTY: xxx
PD002	Relationship Code Not Found in RPTRLT Code Table	<RPT SRC: > or <PERP REL:> xxx <CAPS ID: xxxxxxxx>
PD003	Residence Address with no County	CAPS ID: xxxxxxxx ADDR STR: xx/xx/xxxx ADDR END: xx/xx/xxxx
PD004	Unknown Living Arrangement Code on RRD2	CAPS ID: xxxxxxxx LIV ARR: xx
PD005	Missing Court Date on CRTD for Juv Petition	CAPS ID: xxxxxxxx CRT RSN: xxx CRT DT: xx/xx/xxxx
PD006	Invalid Report ID Number on RRD1	CAPS ID: xxxxxxxx RPT RECV: xx/xx/xxxx
PD007	Allegation Code Not Found in CAP27371	CAPS ID: xxxxxxxx ALLG CD: xxx
PD008	Determination Code Not Found in CAP27371	CAPS ID: xxxxxxxx DET CD: xxx
PD009	Overall Report Disposition Unknown	
PD010	Invalid Victim ID	CAPS ID: xxxxxxxx
PD011	Invalid Worker ID	WKR ID: xxxxxxxx
PD012	Service Code Not Found in CAP17371	CAPS ID: xxxxxxxx SERV CD: xxxxx
PD013	Court Reason Code Not Found in CAP17371	CAPS ID: xxxxxxxx CRT RSN: xxx

Validation Exceptions

<u>Error Code</u>	<u>Error Message</u>	<u>Additional Information</u>
VA001	Date Out Of Range (petition date) (birth date)	CAPS ID: xxxxxxxx <field name>: xx/xx/xxxx <CRT RSN:xxx>
VA002	Invalid Date Field	CAPS ID: xxxxxxxx DOB: xx/xx/xxxx CAPS ID: xxxxxxxx CRT DT: xx/xx/xxxx CRT RSN: xxx
VA003	Incompatible Race	CAPS ID: xxxxxxxx "UN CANNOT BE COMBINED WITH ANOTHER RACE ON PERD"

Example Format of the Detailed Data Exceptions Report

CAPS NCANDS Detailed Data Exceptions Report - 5371.1									
Report Period: 10/01/2007 TO 09/30/2008									
Rgn	Cnty	Asgn Wkr Id	Asgn Wkr Last Nm	Asgn Wkr First Nm	Rpt.	Error Code	Error Message	Additional Information	
1	9	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL	CAPS ID: 00000000	
2	9	C#####	Last Name	First Name	0000000	DQ006	NO ALLEGATIONS FOR CHILD VICTIM ON RRD2	CAPS ID: 00000000	
3	9	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL	CAPS ID: 00000000	
4	9	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
5	11	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL	CAPS ID: 00000000	
6	11	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
7	11	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
8	11	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
9	11	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
10	11	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
11	11	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
12	11	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL	CAPS ID: 00000000	
13	11	C#####	Last Name	First Name	0000000	PQ007	ALLEGATION CODE NOT FOUND IN CAP27371	CAPS ID: 00000000 ALLG CD: OTH	
14	13	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
15	13	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL	CAPS ID: 00000000	
16	13	C#####	Last Name	First Name	0000000	DQ009	CHILD VICTIM HISPANIC ORIGIN NOT REPORTED ON PERD	CAPS ID: 00000000	
17	42	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
18	42	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL	CAPS ID: 00000000	
19	42	C#####	Last Name	First Name	0000000	DQ009	CHILD VICTIM HISPANIC ORIGIN NOT REPORTED ON PERD	CAPS ID: 00000000	
20	42	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL	CAPS ID: 00000000	
21	43	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
22	43	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
23	43	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD	CAPS ID: 00000000	
24	43	C#####	Last Name	First Name	0000000	DQ010	DUPLICATE PERPETRATOR ID'S ON RRD2	CAPS ID: 00000000 PERP ID: 00000000	
25	43	C#####	Last Name	First Name	0000000	DQ010	DUPLICATE PERPETRATOR ID'S ON RRD2	CAPS ID: 00000000 PERP ID: 00000000	
26	43	C#####	Last Name	First Name	0000000	DQ005	MORE THAN THREE PERPETRATORS ON REPORT	IS THIS VALID?	
27	43	C#####	Last Name	First Name	0000000	DQ001	CHILD VICTIM AGE OVER 21	CAPS ID: 00000000 DOB: 08/02/1983 AGE: 24	
28	44	C#####	Last Name	First Name	0000000	DQ012	PERPETRATOR ID IS ONE OF THE UNKNOWN CAPS ID'S	VIC ID: 00000000 PERP ID: 00130223	
29	44	C#####	Last Name	First Name	0000000	DQ012	PERPETRATOR ID IS ONE OF THE UNKNOWN CAPS ID'S	VIC ID: 00000000 PERP ID: 00130223	
30	44	C#####	Last Name	First Name	0000000	DQ012	PERPETRATOR ID IS ONE OF THE UNKNOWN CAPS ID'S	VIC ID: 00000000 PERP ID: 00130223	
31	44	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL	CAPS ID: 00000000	

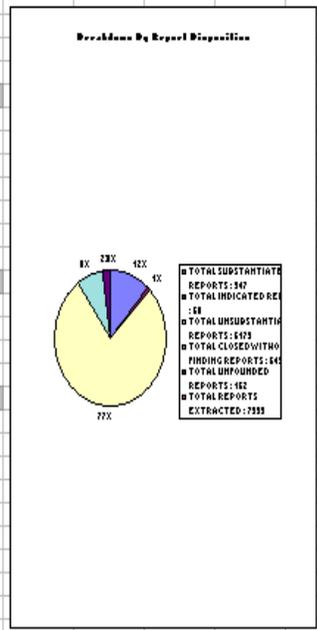
5371.2 – CAPS NCANDS Summary Data Exceptions Report

The title of the new NCANDS Summary Exceptions Report is "CAPS NCANDS SUMMARY DATA EXCEPTIONS REPORT" and it is labeled as Report # 5371.2.

A separate Excel spreadsheet containing the 5371.2 - CAPS NCANDS SUMMARY DATA EXCEPTIONS REPORT will be created at the State-wide level for the Summary Exceptions data. This spreadsheet file will also be distributed as deemed appropriate by Child and Family Services Division.

Example Format of the Summary Data Exceptions Report

A		B	C	D	E	F	G	H	I
1	CAPS NCANDS Summary Data Exceptions Report - 5371.2	Report Period: 10/01/2007 TO 09/30/2008							
2									
3	NCANDS Summary Data Section				Percent				
4	TOTAL SUBSTANTIATED REPORTS	947							
5	TOTAL INDICATED REPORTS	68							
6	TOTAL UNSUBSTANTIATED REPORTS	6173							
7	TOTAL CLOSED WITHOUT FINDING REPORTS	643							
8	TOTAL UNFOUNDED REPORTS	162							
9	TOTAL REPORTS EXTRACTED	7993							
10									
11	TOTAL NUMBER OF CHILD CASES OPEN FOR SERVICES	672							
12	TOTAL NUMBER OF CHILD FATALITIES	1							
13	RECURRENCE OF MALTREATMENT	39	766	5.1%					
14									
15	Use of Unknown CAPS ID's	As a Victim	As a Perp						
16	130223, UNK CAPS ADULT	0	32						
17	130224, UNK CAPS ADULT, FEMALE	0	79						
18	130225, UNK CAPS ADULT, MALE	0	165						
19	130226, UNK CAPS CHILD	72	0						
20	130227, UNK CAPS CHILD, FEMALE	46	0						
21	130229, UNK CAPS CHILD, MALE	78	2						
22									
23	Validation Exceptions								
24	TOTAL NUMBER OF RECORDS WITH VA001 - DATE OUT OF RANGE	0							
25	TOTAL NUMBER OF RECORDS WITH VA002 - INVALID DATE FIELD	0							
26	TOTAL NUMBER OF RECORDS WITH VA003 - INCOMPATIBLE RACE	0							
27									
28	Programming/Database Exceptions								
29	TOTAL NUMBER OF RECORDS WITH PD001 - UNKNOWN/MISSING REPORT COUNTY ON RRD1	0							
30	TOTAL NUMBER OF RECORDS WITH PD002 - RELATIONSHIP CODE NOT FOUND IN RPTRLT CODE TABLE	0							
31	TOTAL NUMBER OF RECORDS WITH PD003 - RESIDENCE ADDRESS WITH NO COUNTY	4							
32	TOTAL NUMBER OF RECORDS WITH PD004 - UNKNOWN LIVING ARRANGEMENT CODE ON RRD2	0							
33	TOTAL NUMBER OF RECORDS WITH PD005 - MISSING COURT DATE ON CRTD FOR JUV PETITION	0							
34	TOTAL NUMBER OF RECORDS WITH PD006 - INVALID REPORT ID NUMBER ON RRD1	0							
35	TOTAL NUMBER OF RECORDS WITH PD007 - ALLEGATION CODE NOT FOUND IN CAP27371	17							
36	TOTAL NUMBER OF RECORDS WITH PD008 - DETERMINATION CODE NOT FOUND IN CAP27371	3							
37	TOTAL NUMBER OF RECORDS WITH PD009 - OVERALL REPORT DISPOSITION UNKNOWN	0							
38	TOTAL NUMBER OF RECORDS WITH PD010 - INVALID VICTIM ID	0							
39	TOTAL NUMBER OF RECORDS WITH PD011 - INVALID WORKER ID	0							
40	TOTAL NUMBER OF RECORDS WITH PD012 - SERVICE CODE NO FOUND IN CAP17371	0							
41	TOTAL NUMBER OF RECORDS WITH PD013 - COURT REASON CODE NOT FOUND IN CAP17371	0							
42									
43	Data Quality Exceptions								
44	TOTAL NUMBER OF RECORDS WITH DQ001 - CHILD VICTIM AGE OVER 21	4							
45	TOTAL NUMBER OF RECORDS WITH DQ002 - CHILD VICTIM RACE NOT REPORTED ON PERD	2797							
46	TOTAL NUMBER OF RECORDS WITH DQ003 - MISSING RESIDENTIAL ADDRESS ON ADDL	5181							
47	TOTAL NUMBER OF RECORDS WITH DQ004 - REPORT ASSIGNED TO WORKER WITH INVALID CONTACT COUNTY	0							
48	TOTAL NUMBER OF RECORDS WITH DQ005 - MORE THAN THREE PERPETRATORS ON REPORT	20							
49	TOTAL NUMBER OF RECORDS WITH DQ006 - NO ALLEGATIONS FOR CHILD VICTIM ON RRD2	78							
50	TOTAL NUMBER OF RECORDS WITH DQ007 - CHILD VICTIM BIRTH DATE NOT REPORTED ON PERD	772							
51	TOTAL NUMBER OF RECORDS WITH DQ008 - CHILD VICTIM SEX NOT REPORTED ON PERD	693							
52	TOTAL NUMBER OF RECORDS WITH DQ009 - CHILD VICTIM HISPANIC ORIGIN NOT REPORTED ON PERD	2771							
53	TOTAL NUMBER OF RECORDS WITH DQ010 - DUPLICATE PERPETRATOR ID'S ON RRD2	24							
54	TOTAL NUMBER OF RECORDS WITH DQ011 - CHILD VICTIM ID IS ONE OF THE UNKNOWN CAPS ID'S	124							
55	TOTAL NUMBER OF RECORDS WITH DQ012 - PERPETRATOR ID IS ONE OF THE UNKNOWN CAPS ID'S	14							
56									



Sections of the NCANDS Summary Data Exceptions Report

NCANDS Summary Data Section

This section contains several summary totals that were felt to be important by the team that designed the NCANDS Exceptions reports.

The first five totals break out the number of unique reports in the NCANDS extract file by the overall report disposition. A separate total is provided for the following disposition categories:

- Substantiated Reports
- Indicated Reports
- Unsubstantiated Reports
- Closed Without Finding Reports
- Unfounded Reports

The overall report disposition for a single report referral is determined by evaluating all of the determinations for all victims on RRD2. The following hierarchy is then used to set the overall report determination. In other words, if any of the victims have one of the following determinations, then the entire report is considered to have that determination (disposition):

- Substantiated ('SUB' 'SUD' 'SUP' 'FHR' 'CCP')
- Indicated ('IND')
- Unsubstantiated ('UNS' 'UNX')
- Closed Without Finding ('CWF')
- Unfounded ('UNF')

The TOTAL REPORTS EXTRACTED is the total number of unique reports that are in the NCANDS extract file.

Note: A pie chart that shows the Breakdown By Report Disposition is also included in the Excel file.

The TOTAL NUMBER OF CHILD CASES OPEN FOR SERVICES is the total number of unique victims who were on a substantiated or indicated report referral and had at least one post investigation service that was mapped to an NCANDS service category. This is an unduplicated count by victim.

The TOTAL NUMBER OF CHILD FATALITIES is the total number of children that are reported to NCANDS as having died as a result of substantiated or indicated abuse/neglect. *Note: In order to be reported to NCANDS as a death, the allegation code must be 'DED' and the determination code must be 'SUD' on RRD2.*

RECURRENCE OF MALTREATMENT is a statistic that is measured for the Child and Family Services Review (CFSR). The following criteria must be met for this calculation:

1. The time period for the calculation is the 12 month period of October – September (Federal Fiscal year – this is the reporting period that NCANDS runs for).
2. The report referral must have a determination end date in that 12 month period to be selected for evaluation.
3. The report referral must also have a report request received date in that 12 month period to be selected for evaluation.
4. The child victim must have a substantiated, indicated or maltreatment death disposition on RRD2 to be selected as a victim in this calculation.

5. Unique victims are retained for this calculation if their earliest report date in the NCANDS file falls within the first six months of the twelve month reporting period (i.e., if their earliest report date is within the months of October – March). This record is called the “initial report”.
6. Subsequent records of a victim that have report dates of the same or next day of the initial report date are excluded.
7. To be counted as a “recurrent report”, the subsequent report must have a report date that falls within 6 months (183 calendar days) of the date of the initial report (excluding the 1 day roll up).

Recurrence Time Period = [initial report date + 1 day] to [initial report date + 6 months]

8. Percentage calculation – the RECURRENCE OF MALTREATMENT PERCENTAGE is computed by dividing the number of victims with a recurrent report by the total count of unique victims in the first 6 months of the 12 month reporting period. The percentage is rounded to the tenth.

Example:

$\frac{\text{\# victims with a recurrent report}}{\text{total unique victims in first 6 months}} = \text{maltreatment recurrence rate}$

$$\frac{39}{766} = 5.1\%$$

Note: In the CFSR, they calculate the “Absence of Maltreatment Recurrence” which is the opposite of the statistic we compute above. The Absence of Maltreatment Recurrence calculation for the example above is as follows:

$\frac{\text{\# victims without a recurrent report}}{\text{total unique victims in first 6 months}} = \text{absence of maltreatment recurrence rate}$

$$\frac{(766-39)}{766} = \frac{727}{766} = 94.9\%$$

This Absence of Maltreatment Recurrence percentage can also be calculated by subtracting the maltreatment recurrence rate from 100 (i.e., 100% – 5.1% = 94.9%).

Use of the Unknown CAPS ID’s

This section contains totals of how many times the six standard Unknown CAPS ID’s are used as a victim or a perpetrator in the NCANDS file. *Note: We do not evaluate the report disposition when calculating these totals – they are simple counts of how many times these CAPS ID’s were used in the NCANDS file as a victim and as a perpetrator. Therefore, there is no correlation between these summary totals and the DQ011 (CHILD VICTIM ID IS ONE OF THE UNKNOWN CAPS ID’S) and DQ012 (PERPETRATOR ID IS ONE OF THE UNKNOWN CAPS ID’S) data quality exception totals.*

The following CAPS ID’s are the six standard Unknown CAPS IDs:

- 130223 – UNK CAPS ADULT
- 130224 – UNK CAPS ADULT, FEMALE
- 130225 – UNK CAPS ADULT, MALE
- 130226 – UNK CAPS CHILD
- 130227 – UNK CAPS CHILD, FEMALE
- 130229 – UNK CAPS CHILD, MALE

Validation Exceptions

This section contains the statewide summary totals for each of the detailed Validation Exceptions (VA001 – VA003).

Programming/Database Exceptions

This section contains the statewide summary totals for each of the detailed Programming/Database Exceptions (PD001 – PD013).

Data Quality Exceptions

This section contains the statewide summary totals for each of the detailed Data Quality Exceptions (DQ001 – DQ012).

Tips for Working the Detailed Data Exceptions Report

The intentions/goals of the 5371.1 CAPS NCANDS DETAILED DATA EXCEPTIONS REPORT are as follows:

- Highlight areas of our CAPS data collection that are incomplete or missing.
- Improve the overall quality of the data that is submitted to NCANDS.
- Improve the overall quality of the data that is entered and maintained in CAPS. A lot of this same data is reported on other Federal Reports such as AFCARS, etc.

It is not expected that all of the NCANDS detail exceptions on the report can or should be corrected. Some of the detailed exceptions are intended to simply be a prompt to the worker to check that particular data item on the report referral to see if it really is appropriate or not. If the value in CAPS is appropriate and no other data choices are reflective of the true circumstances of the report referral, then the data does not require correction. However, it is important that all victim information, such as demographic information on PERD (that is kept in the manual case file throughout the investigation) be entered accurately and kept up to date in CAPS.

The majority of the detailed exceptions are anticipated to be under the Data Quality Exceptions category. There should be very few Programming/Database and/or Validation Exceptions.

Helpful Hints:

- 1. Work the Data Quality Exceptions (DQ001-DQ012) first on your report.*
- 2. Any corrections that need to be made to RRD1 or RRD2 will have to be made by the RRC supertask person for your region since the report referral is already closed.*

Data Quality Exceptions

DQ001 – Child Victim Over Age 21

Exception Trigger: This exception is triggered when the child victim (CATG CD of 'CH' on RRD2) is over the age of 21 as of the Report Request Received Date on RRD1.

Possible Corrections:

1. If the victim is truly over 21, then their category code on RRD2 should be corrected to one of the adult codes.
2. If the victim is a child under the age of 21, then the birth date should be corrected on PERD.

DQ002 – Child Victim Race Not Reported on PERD

Exception Trigger: This exception is triggered when the child victim does not have any ethnicities entered on PERD and the overall disposition of the CPS report (as a whole – all victims are taken into account) is not Closed Without Findings (CWF). *Note: This exception should not be generated if the overall report disposition is CWF. This exception can be triggered if the child victim's CAPS ID is one of the standard Unknown CAPS ID's (130223, 130224, 130225, 130226, 130227, and 130229).*

CFSD staff who participated in the requirements sessions for the NCANDS Exceptions Reports felt that if a CPS report had a disposition of anything other than CWF, the identity (and demographic information) of the victims should be known by the time the report was closed.

Possible Corrections:

1. If the victim CAPS ID on RRD2 is not one of the standard unknown CAPS ID's, enter the correct ethnicity on PERD.
2. If the victim CAPS ID on RRD2 is is one of the standard unknown CAPS ID's, replace that CAPS ID on RRD2 with the correct CAPS ID for the child victim (if they exist in CAPS) or create a new CAPS ID

on PERD for the child victim and enter it in place of the unknown ID on RRD2. *Note: Do NOT update any information on PERD for the standard unknown CAPS ID!*

DQ003 – Missing Residential Address on ADDL

Exception Trigger: This exception is triggered when the child victim on RRD2 does not have an address on ADDL that meets the following criteria:

- The address is a Residential (R) or Placement (P) type address.
- The address is a Montana address (State = MT).
- The address end date on ADDD is on or after the Report Request Received Date on RRD1 and the address start date on ADDD is on or before the Determination End Date on RRD1 (the address had to be active at the time the report was received or became active prior to the closure of the report).

Possible Corrections:

1. Add a Residential (R) or Placement (P) address to ADDL for the child victim that meets the above criteria, if such an address is known in the case file.

DQ004 – Report Assigned to Worker with Invalid Contact County

Exception Trigger: This exception is triggered when a CPS report referral is mistakenly assigned to a worker with a contact county outside of regions 1-5 or the state office (i.e. the contact county of the assigned worker is > 56 and not = 73). This should not happen very often, but if it does it needs to be corrected so that the report referral is accurately included in the NCANDS file.

Possible Corrections:

1. Reassign the report referral on AXED to the correct DPHHS worker.

DQ005 – More Than Three Perpetrators on Report

Exception Trigger: This exception is triggered when there are more than three perpetrators on RRD2 for a CPS report referral.

The reason that this exception was created was to track how often there really are more than three perpetrators on a CPS report referral. Currently, NCANDS only allows for three perpetrators to be reported in their data file.

Possible Corrections:

1. None – if there truly were more than 3 unique perpetrators on the report referral.
2. If a person was incorrectly labeled as a perpetrator (ROLE CD = 'P' or 'B') on RRD2, either change their role code to the appropriate value (perhaps 'N' for neither) or remove them from RRD2.

DQ006 – No Allegations for Child Victim on RRD2

Exception Trigger: This exception is triggered when a person is listed on RRD2 as a child victim, but they do not have any allegations or determinations on RRD2.

CFSD staff who participated in the requirements JAD sessions for the NCANDS Exceptions Reports felt that if a person was listed as a "victim" on RRD2 they should always have at least one allegation and determination entered on RRD2.

Possible Corrections:

1. If there were no allegations/determinations for this person, then perhaps they should not be listed as a victim. Change the role code of this person to 'N' (Neither) on RRD2 or remove this person from the report referral on RRD2.
2. Add the appropriate allegation(s) and determination(s) to this victim.

DQ007 – Child Victim Birth Date Not Reported on PERD

Exception Trigger: This exception is triggered when the child victim does not have a birth date entered on PERD and the overall disposition of the CPS report (as a whole – all victims are taken into account) is not Closed Without Findings (CWF). *Note: This exception should not be generated if the overall report disposition is CWF. This exception can be triggered if the child victim's CAPS ID is one of the standard Unknown CAPS ID's (130223, 130224, 130225, 130226, 130227, and 130229).*

CFSD staff who participated in the requirements sessions for the NCANDS Exceptions Reports felt that if a CPS report had a disposition of anything other than CWF, the identity (and demographic information) of the victims should be known by the time the report was closed.

Possible Corrections:

1. If the victim CAPS ID on RRD2 is not one of the standard unknown CAPS ID's, enter the correct birth date on PERD.
2. If the victim CAPS ID on RRD2 is one of the standard unknown CAPS ID's, replace that CAPS ID on RRD2 with the correct CAPS ID for the child victim (if they exist in CAPS) or create a new CAPS ID on PERD for the child victim and enter it in place of the unknown ID on RRD2. *Note: Do NOT update any information on PERD for the standard unknown CAPS ID!*

DQ008 – Child Victim Sex Not Reported on PERD

Exception Trigger: This exception is triggered when the child victim does not have a sex code entered on PERD and the overall disposition of the CPS report (as a whole – all victims are taken into account) is not Closed Without Findings (CWF). *Note: This exception should not be generated if the overall report disposition is CWF. This exception can be triggered if the child victim's CAPS ID is one of the standard Unknown CAPS ID's (130223, 130224, 130225, 130226, 130227, and 130229).*

CFSD staff who participated in the requirements sessions for the NCANDS Exceptions Reports felt that if a CPS report had a disposition of anything other than CWF, the identity (and demographic information) of the victims should be known by the time the report was closed.

Possible Corrections:

1. If the victim CAPS ID on RRD2 is not one of the standard unknown CAPS ID's, enter the correct sex code on PERD.
2. If the victim CAPS ID on RRD2 is one of the standard unknown CAPS ID's, replace that CAPS ID on RRD2 with the correct CAPS ID for the child victim (if they exist in CAPS) or create a new CAPS ID on PERD for the child victim and enter it in place of the unknown ID on RRD2. *Note: Do NOT update any information on PERD for the standard unknown CAPS ID!*

DQ009 – Child Victim Hispanic Origin Not Reported on PERD

Exception Trigger: This exception is triggered when the child victim does not have a Hispanic Origin code entered on PERD and the overall disposition of the CPS report (as a whole – all victims are taken into account) is not Closed Without Findings (CWF). *Note: This exception should not be generated if the overall report disposition is CWF. This exception can be triggered if the child victim's CAPS ID is one of the standard Unknown CAPS ID's (130223, 130224, 130225, 130226, 130227, and 130229).*

CFSD staff who participated in the requirements sessions for the NCANDS Exceptions Reports felt that if a CPS report had a disposition of anything other than CWF, the identity (and demographic information) of the victims should be known by the time the report was closed.

Possible Corrections:

1. If the victim CAPS ID on RRD2 is not one of the standard unknown CAPS ID's, enter the correct Hispanic Origin code on PERD.
2. If the victim CAPS Id on RRD2 is one of the standard unknown CAPS ID's, replace that CAPS ID on RRD2 with the correct CAPS ID for the child victim (if they exist in CAPS) or create a new CAPS ID on PERD for the child victim and enter it in place of the unknown ID on RRD2. *Note: Do NOT update any information on PERD for the standard unknown CAPS ID!*

DQ010 – Duplicate Perpetrator ID's on RRD2

Exception Trigger: This exception is triggered when the same CAPS ID is entered on the report referral more than once as a perpetrator. *Note: This exception will show up once for each victim on a report referral, so if there are multiple victims on the referral, you will have multiple exceptions for the same report and perpetrator combination.*

It is understood that some workers enter the same perpetrator more than once to denote that the person has a different family role in relation to the various victims (i.e. they may be the birth mother to one child victim and the step mother to another child victim on the same referral). In these cases, no corrections to the data on RRD2 may be required.

Possible Corrections:

1. None – if the perpetrator was entered on RRD2 more than once intentionally to denote that they have multiple family roles in relation to the victims on the report.
2. If the same perpetrator was entered more than once by mistake on RRD2, remove one of the perpetrator entries for that person.

DQ011 – Child Victim ID is one of the Unknown CAPS ID's

Exception Trigger: This exception is triggered when the child victim's CAPS ID is one of the six standard unknown CAPS ID's (130223, 130224, 130225, 130226, 130227, 130229) and the overall disposition of the CPS report (as a whole – all victims are taken into account) is not Closed Without Findings (CWF). *Note: This exception should not be generated if the overall report disposition is CWF.*

CFSD staff who participated in the requirements sessions for the NCANDS Exceptions Reports felt that if a CPS report had a disposition of anything other than CWF, the identity (and demographic information) of the victims should be known by the time the report was closed.

*Note: If you get the DQ011 exception on a report referral, you should also have the following exceptions for the same report referral: DQ002, DQ003, DQ007, DQ008, and DQ009. This is because the unknown CAPS ID's do not have any demographic information on PERD. **By correcting the unknown CAPS ID on RRD2, you will correct all six errors at the same time (if all of the demographic information is entered on PERD for the replacement CAPS ID).***

31	1	44	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL
32	1	44	C#####	Last Name	First Name	0000000	PD007	ALLEGATION CODE NOT FOUND IN CAP27371
33	1	44	C#####	Last Name	First Name	0000000	DQ002	CHILD VICTIM RACE NOT REPORTED ON PERD
34	1	44	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL
35	1	44	C#####	Last Name	First Name	0000000	DQ007	CHILD VICTIM BIRTH DATE NOT REPORTED ON PERD
36	1	44	C#####	Last Name	First Name	0000000	DQ008	CHILD VICTIM SEX NOT REPORTED ON PERD
37	1	44	C#####	Last Name	First Name	0000000	DQ009	CHILD VICTIM HISPANIC ORIGIN NOT REPORTED ON PERD
38	1	44	C#####	Last Name	First Name	0000000	DQ011	CHILD VICTIM ID IS ONE OF THE UNKNOWN CAPS ID'S
39	1	46	C#####	Last Name	First Name	0000000	DQ003	MISSING RESIDENTIAL ADDRESS ON ADDL

Possible Corrections:

1. Replace the unknown CAPS ID on RRD2 with the correct CAPS ID for the child victim (if they exist in CAPS) or create a new CAPS ID on PERD for the child victim and enter it in place of the unknown ID on RRD2. *Note: Do NOT update any information on PERD for the standard unknown CAPS ID!*

DQ012 – Perpetrator ID is one of the Unknown CAPS ID’s

Exception Trigger: This exception is triggered when the perpetrator’s CAPS ID is one of the six standard unknown CAPS ID’s (130223, 130224, 130225, 130226, 130227, 130229) and the overall disposition of the CPS report (as a whole – all victims are taken into account) is Substantiated ('SUB', 'SUD', 'SUP', 'FHR', or 'CCP') or Indicated ('IND').

CFSD staff who participated in the requirements sessions for the NCANDS Exceptions Reports felt that if a CPS report had a disposition of Substantiated or Indicated, the identity (and demographic information) of all of the perpetrators should be known by the time the report was closed.

Possible Corrections:

1. Replace the unknown CAPS ID on RRD2 with the correct CAPS ID for the perpetrator (if they exist in CAPS) or create a new CAPS ID on PERD for the perpetrator and enter it in place of the unknown ID on RRD2. *Note: Do NOT update any information on PERD for the standard unknown CAPS ID!*
2. Remove the unknown CAPS ID on RRD2 from the report referral entirely if it was entered in error.
3. Change the role code of the unknown perpetrator from a 'P' or 'B' to an 'N' for neither.

Programming/Database Exceptions

PD001 – Unknown/Missing Report County on RRD1

Exception Trigger: This exception is triggered when the report County is missing (zero or blank) on RRD1. ***Note: Since the report County is a required field on RRD1, this should never happen, but if it did we would want to know about it.*

Possible Corrections:

1. Enter the report County on RRD1.

PD002 – Relationship Code Not Found in RPTRLT Code Table

Exception Trigger: This exception is triggered when a new relationship code gets added to the RLNSHP code table on TABL, but the RPTRLT cross reference code table does not get updated with the new code.

Possible Corrections:

1. Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD003 – Residence Address with No County

Exception Trigger: This exception is triggered when the County is missing (zero or blank) on the MT residential or placement address of the victim. ***Note: Since County is a required field on ADDD when the state is MT, this should never happen, but if it did, we would want to know about it. However, there are a couple of addresses from 1996 conversion out there that do not have a county and they will trigger this exception.*

Possible Corrections:

1. Modify the residential or placement address on ADDL and add the correct MT county code.

PD004 – Unknown Living Arrangement Code on RRD2

Exception Trigger: This exception is triggered when a new Living Arrangement code is added to the CHLVNG code table on TABL and the NCANDS code is not updated with the new code value.

Possible Corrections:

1. Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD005 – Missing Court Date on CRTD for Juv Petition

Exception Trigger: This exception is triggered when the HEARING/FILING DATE is missing (zero) on CRTD for a court record that NCANDS considers valid for a Juvenile Petition. ***Note: Since the HEARING/FILING DATE is a required field on CRTD, this should never happen, but if it did, we would want to know about it.*

Possible Corrections:

1. Locate the victim's court record on CRTD that is missing the HEARING/FILING DATE (the court reason is given in the additional information section for the exception). Modify that court record on CRTD by entering the correct HEARING/FILING DATE.

PD006 – Invalid Report ID Number on RRD1

Exception Trigger: This exception is triggered when the Report ID Number is missing (blank or zero) on RRD1. ***Note: Since the Report ID Number is a system generated number whenever a new report is added, this should never happen, but if it did, we would want to know about it.*

Possible Corrections:

1. Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD007 – Allegation Code Not Found in CAP27371

Exception Trigger: This exception is triggered when a new allegation code is added to the ALGRSN code table ON TABL, but the CAP27371 NCANDS code was not updated with the new allegation value. ***Note: The current codes of 'OTH' and 'DED' are not mapped to the NCANDS allegation categories and therefore, they also trigger this exception.*

Possible Corrections:

1. 'OTH' allegation codes – is there another allegation code that fits the situation? If so, update the 'OTH' allegation code on RRD2 with that allegation code. ***Note: 'OTH' should be used as an allegation code only if there are no other allegations in the code table that make sense for the situation that occurred on the report referral. If this is the case, no changes need to be made for this exception.*
2. 'DED' allegation codes – this is a valid allegation code on RRD2 if the child died as a result of the maltreatment. However, it does not map to the NCANDS categories which is why the exception occurs. This is fine and does not need to be corrected. What needs to be examined here is the determination code that was entered with the 'DED' allegation. The death will only be reported to NCANDS as a death if the determination code is 'SUD' (SUBSTANTIATED /INDICATED CHILD ABUSE RESULTED IN DEATH). If the determination code entered was 'SUB' (SUBSTANTIATED ABUSE, NEGLECT OR EXPLOITATION) or 'IND' (INDICATED MALTREATMENT OCCURRED UNABLE TO SUBSTANTIATE), should it have been entered as SUD instead? If so, enter 'SUD' as the

determination on the DED allegation on RRD2. If the determination code is correct as entered, no changes need to be made for this exception.

3. Any other allegation codes besides 'OTH' or 'DED' - Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD008 – Determination Code Not Found in CAP27371

Exception Trigger: This exception is triggered when a new determination code is added to the DTRMNT code table on TABL, but the CAP27371 NCANDS code was not updated with the new determination value. ***Note: This exception can also be triggered if the determination code is missing (blank) for a valid allegation. RRD1 is supposed to require that all allegations on RRD2 have determinations upon closure, so this shouldn't happen, but there is a least one referral out there where this did happen.*

Possible Corrections:

1. Determination code is blank – enter the correct determination code on RRD2 for the allegation.
2. Any other Determination code - Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD009 – Overall Report Disposition Unknown

Exception Trigger: This exception is triggered when the only determinations entered on RRD2 (for all victims) are determination codes that are not known to the CAP27371 NCANDS code. ***Note: This would occur for the same reasons as the PD008 exception. If you have a PD009 exception for the referral, there should also be PD008 exceptions for all victims on the referral.*

Possible Corrections:

1. Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD010 – Invalid Victim ID

Exception Trigger: This exception is triggered when the CAPS ID of the victim is zero. ***Note: Since the CAPS ID is a system generated number when the person is added in CAPS, this should never happen, but if it did, we would want to know about it.*

Possible Corrections:

1. Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD011 – Invalid Worker ID

Exception Trigger: This exception is triggered when the assigned worker ID on RRD1 is missing (blank). ***Note: Since an assigned worker is required in order to close a referral on RRD1, this should never happen, but if it did, we would want to know about it.*

Possible Corrections:

1. Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD012 – Service Code Not Found in CAP17371

Exception Trigger: This exception is triggered when a new service code is added to the SRVCDS code table on SCMD, but the CAP17371 NCANDS code was not updated with the new service code mapping.

Possible Corrections:

1. Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

PD013 – Court Reason Code Not Found in CAP17371

Exception Trigger: This exception is triggered when a new Court Reason code is added to the CRTRSN code table on TABL, but the CAP17371 NCANDS code was not updated with the new court reason code value.

Possible Corrections:

1. Call the CAPS Help Desk and have them write up an SCR for this exception. Be sure to give them the entire exception message and additional information (Caps ID, report number) provided by the exceptions report.

Validation Exceptions

VA001 – Date Out of Range

Exception Trigger: This exception is triggered when any of the following dates have a value that is considered by NCANDS as “out of range”:

- Petition date (HEARING/FILING DATE on CRTD)
- Birth date (PERD)

“Out of Range” means that the date entered has a year that is less than 1875.

***Note: For the petition date, the court reason is provided in the additional information text to help you locate the court record in error.*

Possible Corrections:

1. Correct the birth date on PERD or the HEARING/FILING DATE on CRTD.

VA002 – Invalid Date Field

Exception Trigger: This exception is triggered when the HEARING/FILING DATE on CRTD for the court record that NCANDS selected for the Juvenile Court petition has a value of 99/99/9999. ***Note: The court reason is provided in the additional information text to help you locate the court record in error.*

Possible Corrections:

1. Enter the correct date for the HEARING/FILING DATE on CRTD.

VA003 – Incompatible Race

Exception Trigger: This exception is triggered when UN (UNKNOWN) is entered as an ethnicity on PERD along with any other valid ethnicity. For example, both CA (WHITE/CAUCASIAN) and UN (UNKNOWN) are entered on PERD as ethnicities for the victim.

Possible Corrections:

1. Remove the UN (UNKNOWN) ethnicity value from PERD.