

RESPONSIBLE INDIVIDUALS LIST USER MANUAL

GENERAL INFORMATION

This User Manual is written for the Social Worker completing the DSS 5104-a paper form and/or Data Entry staff entering the data from the DSS 5104-a paper form into the Responsible Individuals List.

The Responsible Individuals List is used to identify parents, guardians, caretakers, or custodians that have been identified as perpetrators in all substantiated cases of abuse or serious neglect using the investigative assessment response. Information from the Responsible Individuals List is available only to authorized person for the sole purpose of determining current or prospective employability.

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 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 does not change as a result of the Responsible Individuals List. At no time shall the Central Registry be used for determining employability.

Only identified individuals from the North Carolina Division of Social Services and county Departments of Social Services will have direct access to the Responsible Individuals List, just as with current accessibility to the Central Registry System.

Information will continue to be entered into the Central Registry according to the Division's existing policy. The perpetrators identified on the DSS 5104-a, "Report to Central Registry / C.P.S. Application" are the same as the responsible individuals listed on the Responsible Individuals List. When the type found code entered into the DSS 5104-a is a "1" (Abuse), a "3" (Abuse and Neglect), or a "2" (Neglect) where at least one "Serious" block is checked by a "Neglect" maltreatment type **and** the RI Field on the DSS 5104 indicates that a perpetrator should be placed on the Responsible Individuals List, the current fields for the perpetrator's information, county number, Central Registry form number, date of initial report, date of case decision, type found, and type of maltreatment found will automatically populate to corresponding fields in the Responsible Individuals List (Field 1-11). County staff members do not have to enter this information more than once. An automated turnaround, DSS 5104-a, will be generated and sent to the county Department of Social Services. This form is to become part of the case record, and updated if the expunction process is initiated.

The expunction process only begins if there is a request to do so by the responsible individual.

If the **Director** receives a request for expunction, the county Department of Social Services staff will enter the information in the "Request for Expunction to the Director" table at the point of the Director's decision (DSS 5104-a **Fields 13-18**). The information entered into the Responsible Individuals List will generate the appropriate modification and / or expunction if needed in the Responsible Individuals List and will update the corresponding RI code (DSS-5104 Field 38) in the Central Registry. An automated turnaround DSS 5104-a will be generated and sent to the county Department of Social Services for the case record.

If there is an expunction request to the **District Attorney**, the county Department of Social Services staff will enter the information in the "Request for Expunction to the District Attorney" table at the point of the District Attorney's decision (DSS 5104-a **Fields 19-23**). The information entered into the Responsible Individuals List will generate the appropriate expunction if needed and will update the corresponding RI code (DSS 5104 Field 38) in the Central Registry System. **Information concerning the case decision in the Central Registry System will not be modified as a result of the decision made by the District Attorney.** An automated turnaround DSS 5104-a will be generated and sent to the county Department of Social Services for the case record.

If there is an expunction request to the **District Court**, the county Department of Social Services staff will enter the information in the "Request for Expunction to District Court" table at the point of the District Court's decision (DSS 5104-a **Fields 24-29**). The information entered into the Responsible Individuals List will generate the appropriate modification on the RIL and / or expunction if needed and will update the corresponding RI code (DSS-5104 Field 38) in the Central Registry. An automated turnaround DSS 5104-a will be generated and sent to the county Department of Social Services for the case record.

Note: When the District Attorney or the District Court conducts a review of a request for expunction, any decision that reverses or modifies the Director's case decision only effects the placement of the responsible individual's name on the Responsible Individuals List. The Director is required to continue ensuring the safety of the children involved.

With the exception of searches conducted by the county Departments of Social Services, all requests for searches of the Responsible Individuals List will be submitted in writing to the Division of Social Services by "authorized individuals" who are strongly considering the responsible individual for employment or volunteer services. The written requests will include the last name, first name and middle initial of the potential responsible individual's. In order to conduct a search the Division also requires that the requests include the potential responsible individual's date of birth, gender, 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 individual whether his or her name appears on the Responsible Individuals List. Authorized individuals on the staff of county Department of Social Services will have direct access to the Responsible Individuals List for current or prospective employment purposes only.

Use of the Central Registry for searches for Safety Resources and checking family history during CPS assessments (family assessments and investigative assessments) are allowed in existing policy. Searches of the Central Registry System are not allowed for any employment purposes.

Authorized Division staff will be responsible for conducting the searches of the Responsible Individuals List, entering and maintaining its required information, and responding to the authorized individual in writing of the findings.

A Soundex name-search system may be used for searches by authorized Division and county Department of Social Services staff. There must be an exact match of at least the person's date of birth, gender, and Social Security Number to identify him or her as a responsible individual using such a Soundex search system.

It is unlawful for any public official or public employee to knowingly or wilfully release information from the Central Registry or the Responsible Individuals List to a person who is not authorized to receive such information. 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 an offense described in this section is guilty of a Class 3 misdemeanor.

Note: When authorized persons use information from the Responsible Individuals List to deny a person employment they must inform that person that this is the reason for the denial. Only the Responsible Individuals List may be accessed for employment purposes. The Central Registry System may not be accessed for employment purposes.

I. Responsible Individuals List Functions

The Responsible Individuals list may be accessed through the Central Registry System. After signing on to the Central Registry System, select Option 9 – Responsible Individuals List Menu.

The Responsible Individuals List has 5 functions available:

Update by RIL Form Number: This is the option that is used to update the Responsible Individuals List when the RIL Form Number is known.

Inquiry by RIL Form Number: This option is used to view a DSS 5104-a when the RIL Form Number is known.

SSN Search: This option is used to search for a Responsible Individual by Social Security Number.

Name Search: This option is used to search for a Responsible Individual by name. For this option the individual's last name, first name and middle initial can be entered. Only exact matches to the name entered will be displayed.

Soundex Name Search: This option is used to search for a Responsible Individual by name. For the option the individual's last name and first name must be entered. This option will display all names that match and are similar to the name entered.

Logoff

To logoff, press the 'F3' key twice. At the blank screen key in 'logoff' and press enter. This will take you back to the main state banner screen.

III. Update by RIL Form Number

After a CPS assessment has been completed, a DSS 5104 paper form must be completed. Once completed, the information from the form is keyed into the Central Registry System. When the type found code entered into the DSS 5104 is a "1" (Abuse), a "3" (Abuse and Neglect), or a "2" (Neglect) where at least one "Serious" block is checked by a "Neglect" maltreatment type **and** the RI Field on the DSS 5104 indicates that a perpetrator should be placed on the Responsible Individuals List, the current fields for the perpetrator's information,

county number, Central Registry form number, date of initial report, date of case decision, type found, and type of maltreatment found will automatically populate to corresponding fields in the Responsible Individuals List. County staff members do not have to enter this information more than once. An automated turnaround, DSS 5104-a, will be generated and sent to the county Department of Social Services. This form is to become part of the case record, and updated only if the expunction process is initiated.

When the DSS 5104-a is generated, a unique RIL Form Number will be assigned to the Responsible Individual. That form number is required in order to update the DSS 5104-a in the Responsible Individuals List system. The form number will appear on the turnaround form that the county receives, or can be immediately accessed by doing a name search or social security number search with the Responsible Individual's information after the DSS 5104 has been entered.

On the DSS 5104-a, Fields 1-6 have identifying information pertaining to the Responsible Individual. Fields 7-12 have information pertaining to the investigative assessment finding. Fields 13-18 have information pertaining to a request for expunction to the director if initiated by the Responsible Individual. Fields 19-22 have information pertaining to a request for expunction to the district attorney if initiated by the Responsible Individual. Finally, Fields 24-29 have information pertaining to a request for expunction to the district court director if initiated by the Responsible Individual.

IV. Inquiry by RIL Form Number

This option is used to view a DSS 5104-a that has been previously entered when the RIL Form Number is known. To view the DSS-5104a, key "2", as the selection and key in the RIL form number and press enter. This will display the 5104-a. Since this is an inquiry, changes will not be allowed.

V. SSN Search / Name Search / Soundex Name Search

SSN Search

When using the Social Security Number Search to query the Responsible Individuals List, the person's accurate social security number must be entered. The search results will only return results that have an exact match.

When using the SSN Search, data entry will key "3" as the selection and the social security number as the key.

Name Search

When using the Name Search to query the Responsible Individuals List, the individual's last name and first name must be entered. It is critical to put a comma and a space between the last name and the first name or no results will appear, the search results will only return results that have an exact match.

When using the Name Search, data entry will key "4" as the selection and the "last name, first name" as the key.

Soundex Name Search

When using the Soundex Name Search to query the Responsible Individuals List, a last name is required and at least the first letter of the first name is needed. The results will return all names that sound similar to the requested name. Again, make sure to separate the victim's last name and first name with a comma and a space, or no names will be displayed.

When using the Soundex Name Search, data entry will key "5" as the selection and the "last name, first initial" as the key.

DSS-5104 FORM FIELDS AND CODES

Responsible Individuals' Information

Fields 1 through 6

Fields 1-6 will be automatically be retrieved from the Central Registry system when the type found code entered into the DSS 5104 is a "1" (Abuse), a "3" (Abuse and Neglect), or a "2" (Neglect) where at least one "Serious" block is checked by a "Neglect" maltreatment type **and** the RI field indicates that a perpetrator should be placed on the Responsible Individuals List. If the information is incorrect, it must be updated in the Central Registry system using the Central Registry form number for which the Responsible Individual appears on the list.

Field 1. Responsible Individual Name

ENTRY REQUIRED

The name of the Responsible Individual will be automatically retrieved from the Central Registry with the last name at the beginning of the last name block, first name at the beginning of the first name block and the middle initial in the middle initial block. It is extremely important that the Responsible Individuals name is as accurate and complete as possible because it is required by law to be released for such purposes as employment screening.

Field 2. Date of Birth

ENTRY REQUIRED

The Responsible Individual's birth date will be automatically retrieved from the Central Registry. It is extremely important that the Responsible Individual's date of birth is accurate for identification purposes in the event that Responsible Individuals' names are required by law to be released for such purposes as employment screening.

Field 3. Age

ENTRY REQUIRED

The Responsible Individual's age will be automatically retrieved from the Central Registry based on a calculation from the Responsible Individual's date of birth. **If the Responsible Individual's date of birth is unknown and cannot be obtained, the estimated age of the Responsible Individual will be displayed with an "E", denoting that the age and date of birth is estimated.**

Field 4. Race/Ethnicity

ENTRY REQUIRED

The Responsible Individual's race/ethnicity will be automatically retrieved from the Central Registry. It will be displayed using one of the following two- (2) digit codes:

Code	Value
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)
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)
Code	Value
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 (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)
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 5. Sex

ENTRY REQUIRED

The Responsible Individual's sex will be automatically retrieved from the Central Registry. It will be displayed using one of the following one- (1) digit codes:

Code	Definition
1	Male
2	Female

It is extremely important that the Responsible Individual's sex is accurate for identification purposes in the event that Responsible Individuals' names are required by law to be released for such purposes as employment screening.

Field 6. Social Security Number

ENTRY REQUIRED

The Responsible Individual's social security number will be automatically retrieved from the Central Registry. **It is extremely important to make every effort to obtain the Responsible Individuals' social security number for identification purposes in the event that perpetrator's names are required by law to be released for such purposes as employment screening.**

Investigative Assessment Findings

Fields 7 through 12

Fields 7-11 will be automatically be retrieved from the Central Registry system when the type found code entered into the DSS 5104 is a "1" (Abuse), a "3" (Abuse and Neglect), or a "2" (Neglect) where at least one "Serious" block is checked by a "Neglect" maltreatment type **and** the RI field indicates that a perpetrator should be placed on the Responsible Individuals List. If the information is incorrect, it must be updated in the Central Registry system using the Central Registry form number for which the Responsible Individual appears on the list. Field 12 must be completed by the social worker and entered into the Responsible Individuals List on the date that the required notice was delivered to the Responsible Individual.

Field 7. County

ENTRY REQUIRED

The County code will be automatically retrieved from the Central Registry. It will be displayed using one of the following two- (2) digit codes:

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 8. Central Registry Form Number

ENTRY REQUIRED

The Central Registry Form Number associated with the event that placed the Responsible Individual on the list will be automatically retrieved from the Central Registry.

Field 9. Date of Initial Report

ENTRY REQUIRED

The Date of Initial Report associated with the event that placed the Responsible Individual on the list will be automatically retrieved from the Central Registry.

Field 10. Case Decision

ENTRY REQUIRED

The Date of Case Decision associated with the event that placed the Responsible Individual on the list will be automatically retrieved from the Central Registry.

Field 11. Type Found

ENTRY REQUIRED

The Type Found code associated with the event that placed the Responsible Individual on the list will be automatically retrieved from the Central Registry. Only type found codes "1" (Abuse), "3" (Abuse and Neglect), or "2" (Neglect) where at least one "Serious" block is checked by a "Neglect" maltreatment type are valid for those placed on the Responsible Individuals List.

Code	Type Found	Definition
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; or encourages, directs or approves of delinquent acts involving moral turpitude committed by the juvenile.
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 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 Substantiated	A situation in which both abuse and neglect are found.

Field 12. Date Notice to the Responsible Individual Delivered **ENTRY REQUIRED**

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the notice to the Responsible Individual was delivered. This date can not precede the Date of Case Decision listed in Field 10.

Requests for Expunction

There are four ways in which an individual placed on the RIL can request expunction. The expunction process and the results will be tracked with the DSS-5104a. If an expunction request has been made, regardless of the final outcome, the value in Field 38 on the DSS-5104 will be automatically updated to indicate what type of decision was made. The update to Field 38 will be automatic, based on the information entered on the DSS-5104a.

Code	Value
41-44	Expungements
41	The individual was expunged from the Responsible Individuals List at the Director Level.
42	The individual was expunged from the Responsible Individuals List at the District Attorney Level.
43	The individual was expunged from the Responsible Individuals List at the Court Level
44	The individual was expunged from the Responsible Individuals List at an Adjudication Hearing
51-59	Modifications
51	RIL Indicator was modified to Abuse at the Director Level.
52	RIL Indicator was modified to Serious Neglect at the Director Level.
53	RIL Indicator was modified to Abuse and Neglect at the Director Level.
54	RIL Indicator was modified to Abuse at the Court Level.
55	RIL Indicator was modified to Neglect at the Court Level.
56	RIL Indicator was modified to Abuse and Neglect at the Court Level.
57	RIL Indicator was modified to Abuse at an Adjudication Hearing.
58	RIL Indicator was modified to Serious Neglect at an Adjudication Hearing.
59	RIL Indicator was modified to Abuse and Neglect at an Adjudication Hearing.
61-64	Original Decision Upheld
61	The original decision to place the name on the RIL was upheld at the Director Level.
62	The original decision to place the name on the RIL was upheld at the District Attorney Level
63	The original decision to place the name on the RIL was upheld at the Court Level (also includes Dismissed petitions and other court actions.)
64	The original decision to place the name on the RIL was upheld at an Adjudication Hearing.

Request for Expunction: Director Review

Fields 13 through 18

Fields 13 through 18 must be completed if the Responsible Individual appeals to the County Director for review. Except for Field 16, which is only required if the Director chooses to modify the the status of the responsible individual on the RIL, all fields must be completed before the data can be entered into the system. Once Fields 13 through 18 are complete, a turnaround form will be generated which should be kept in the case record.

Field 13. Date Director Request Received

ENTRY REQUIRED

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the Director received the request to expunge the individual from the Responsible Individuals List. This date can not precede the date the notice was delivered to the Responsible Individual listed in Field 12.

Field 14. Date of Director Decision

ENTRY REQUIRED

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the Director reached their decision regarding whether the individual should be

expunged from the Responsible Individuals List. This date can not precede the date the request to the Director was received as listed in Field 13.

Field 15. Director Decision

ENTRY REQUIRED

Enter the appropriate two (2) digit code regarding the Director's decision:

Code	Value
01	The individual should remain on the Responsible Individuals List.
02	The individual should remain on the Responsible Individuals List, but the RIL Indicator should be modified.
03	The individual should be expunged from the Responsible Individuals List.

If code "01" is selected, there will be no change to the Responsible Individuals List.

Field 38 on the DSS-5104 will automatically be updated to code "61" indicating that the director upheld the original decision to place the name on the RIL.

If code "02" is selected, there will be no change to the Responsible Individuals List, and it is required that **Field 16** is completed.

If code "03" is selected, the individual will be automatically expunged from the Responsible Individuals List, and Field 38 (RIL) of the DSS-5104 will automatically be updated to code "41" indicating that the individual has been expunged from the Responsible Individuals List by the director.

Field 16. Director Type of Modification

**ENTRY REQUIRED
 IF APPLICABLE**

This field should be completed only if Field 15 equals code "02". If so, enter the appropriate two (2) digit code regarding the Director's modification to the RIL Indicator (status of the responsible individual on the RIL):

Code	Value
01	The RIL Indicator should be modified to abuse.
02	The RIL Indicator should be modified to serious neglect.
03	The RIL Indicator should be modified to abuse and neglect.

If the Director modifies the status of the responsible individual due to an expunction review, Field 38 "Responsible Individuals List" on the DSS-5104 will automatically be updated to reflect the Director's modification to the RIL Indicator resulting from the Director's expunction review.

If code "01" is selected the DSS-5104 will automatically be updated to code "51" indicating that the Director modified the RIL Indicator to abuse.

If Code "02" is selected the DSS-5104 will automatically be updated to code "52" indicating that the Director modified the RIL Indicator to serious neglect.

If a "03" is selected the DSS-5104 will automatically be updated to code "53" indicating that the Director modified the RIL Indicator to abuse and serious neglect.

Field 17. Date of Director Notice to the Responsible Individual **ENTRY REQUIRED**

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the Director's notice was delivered to the individual requesting expunction. This date can not precede the date of the Director's decision listed in Field 14.

Field 18. Date of Director Notice to the Division **ENTRY REQUIRED**

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that notice of the Director's decision was delivered to the Division. This date can not precede the date of the Director's decision listed in Field 14. Must be entered into the system no later than 5 days from the date of the Director's decision. **This date will be auto-filled on the date of entry.**

Request for Expunction: District Attorney Review **Fields 19 through 22**

Fields 19 through 22 must be completed if the Responsible Individual appeals to the District Attorney for review. All fields must be completed before the data can be entered into the system. Once Fields 19 through 22 are completed, a turnaround form will be generated which should be kept in the case record.

Field 19. Date DA Request Received **ENTRY REQUIRED**

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the District Attorney received the request to expunge the individual from the Responsible Individuals List.

Field 20. Date of DA Decision **ENTRY REQUIRED**

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the District Attorney reached their decision regarding whether the individual should be expunged from the Responsible Individuals List. This date can not precede the date the request to the District Attorney was received as listed in Field 19.

Field 21. DA Decision **ENTRY REQUIRED**

Enter the appropriate two (2) digit code regarding the District Attorney's decision:

Code	Value
01	The individual should remain on the Responsible Individuals List.
03	The individual should be expunged from the Responsible Individuals List.

If code "01" is selected, there will be no change to the Responsible Individuals List. Field 38 on the DSS-5104 will be automatically updated to a code "62" indicating that the District Attorney upheld the original decision to place the name on the RIL.

If code "03" is selected, the individual will be automatically expunged from the Responsible Individuals List, and Field 38 (RIL) of the DSS 5104 will automatically be updated to code "42" indicating that the individual has been expunged from the Responsible Individuals List by the district attorney.

Field 22. Date of DA Notice to the Responsible Individual ENTRY REQUIRED

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the District Attorney's notice was delivered to the individual requesting expunction. This date can not precede the date of the DA's decision listed in Field 20.

Field 23. Date of DA Notice to the Division ENTRY REQUIRED

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that notice of the DA's decision was delivered to the Division. This date can not precede the date of the DA's decision listed in Field 20. Must be entered into the system no later than 5 days from the date of the DA's decision. **This date will be auto-filled on the date of entry.**

Petition for Expunction: District Court Review Fields 24 through 29

Fields 24 through 29 must be completed if the Responsible Individual petitions the District Court for review. Except for Field 27, which is only required if the District Court chooses to modify the RIL Indicator, all fields must be completed before the data can be entered into the system. Once Fields 24 through 29 are complete, a turnaround form will be generated which should be kept in the case record.

Field 24. Date of Court Petition ENTRY REQUIRED

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] of the court petition to expunge the individual from the Responsible Individuals List.

Field 25. Date of Court Hearing ENTRY REQUIRED

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] for the date of the court hearing. This date can not precede the date of court petition listed in Field 24.

Field 26. Court Decision ENTRY REQUIRED

Enter the appropriate two (2) digit code regarding the Court's decision:

Code	Value
01	The individual should remain on the Responsible Individuals List.
02	The individual should remain on the Responsible Individuals List, but the RIL Indicator should be modified.

03	The individual should be expunged from the Responsible Individuals List.
04	Petition dismissed.
05	Other court action.

If code "01", "04" or "05" is selected, there will be no change to the Responsible Individuals List. Field 38 on the DSS-5104 will automatically be updated to a code "63" indicating that the District Court upheld the original to place the name on the RIL.

If code "02" is selected, there will be no change to the Responsible Individuals List, and it is required that Field 27 is completed.

If code "03" is selected, the individual will be automatically expunged from the Responsible Individuals List, and Field 38 (RIL) of the DSS 5104 will automatically be updated to code "43" indicating that the individual has been expunged from the Responsible Individuals List by the District Court.

Field 27. Court Type of Modification **ENTRY REQUIRED IF APPLICABLE**

Enter the appropriate two (2) digit code regarding the court's modification to the RIL Indicator:

Code	Value
01	The RIL Indicator should be modified to abuse.
02	The RIL Indicator should be modified to serious neglect.
03	The RIL Indicator should be modified to abuse and neglect.

If the District Court modifies the RIL Indicator due to an expunction hearing, Field 38 "Responsible Individuals List" on the DSS-5104 will automatically be updated to reflect the result of the District Court's expunction hearing.

If code "01" is selected the DSS-5104 will automatically be updated to code "54" indicating that the District Court modified the RIL Indicator to abuse and left the name on the RIL.

If code "02" is selected the DSS-5104 will automatically be updated to code "55" indicating that the District Court modified the RIL Indicator to Neglect (serious) and left the name on the RIL.

If code "03" is selected the DSS-5104 will automatically be updated to code "56" indicating that the District Court modified the RIL Indicator to Abuse and Neglect and left the name on the RIL.

Field 28. Date of Court Decision **ENTRY REQUIRED**

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] of the court's decision. This date can not precede the date of the court hearing listed in Field 25.

Field 29. Date of District Court Notice to the Division **ENTRY REQUIRED**

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the Division was notified of the Court's decision. This date can not precede the date of the court decision listed in Field 28. Must be entered into the system no later than 5 days from the date of the District Court's decision. **This date will be auto-filled on the date of entry.**

Juvenile Petition: Adjudication Hearing

Fields 30 through 34

Fields 30 through 34 must be completed if during an Investigative Assessment it became necessary to file a juvenile petition alleging abuse or neglect prior to a case decision being made. Fields 30 through 34 documents the decision of the court during an adjudication hearing.

Field 30. Date of Juvenile Petition

ENTRY REQUIRED

Enter the month, day and year (use a leading zero (0) for any month or day less than ten (10)) that the juvenile petition was filed in district court. This date can not be later than the date of the case decision listed in Field 31.

Field 31. Adjudication Disposition

ENTRY REQUIRED

Enter the appropriate two (2) digit code regarding the decision of the court during the adjudication hearing.

Code	Value
01	The court adjudicated the same as the original case decision and the name remains on the list.
02	The court adjudicated something different than the original case decision.
03	The court did not adjudicate the petition and the name is expunged from the list.

If code "01" is selected Field 38 on the DSS-5104 will automatically updated to a code "64" indicating that the court adjudicated the same case decision and the name will remain on the RIL.

If code "02" is selected there will be no change to the Responsible Individuals List, and it is required that Field 33 is completed.

If code "03" is selected the individual will be automatically expunged from the Responsible Individuals List, and Field 38 of the DSS-5104 will automatically be updated to code "44", indicating that the individual has been expunged from the RI L.

Field 32. Type of Court Adjudication

ENTRY REQUIRED

Enter the appropriate two (2) digit code regarding the court's adjudicatory finding that is different from the original case decision.

Code	Value
01	The Court adjudicated abuse
02	The Court adjudicated neglect
03	The Court adjudicated abuse and neglect
04	The Court adjudicated dependency

Field 38 "Responsible Individuals List" on the DSS-5104 will be updated to reflect the result of the adjudication hearing and the change to the RIL Indicator.

If code "01" is selected, the DSS-5104 will automatically be updated to code "57" indicating that the court adjudicated abuse and the name will remain on the RIL.

If code "02" is selected the DSS-5104 will automatically be updated to code "58" indicating that the court adjudicated Neglect

If code "03" is selected the DSS-5104 will automatically be updated to code "59" indicating that the court adjudicated abuse and neglect and the name will remain on the RIL.

If code "04" is selected the DSS-5104 will automatically be updated to code "44" indicating that the name will be expunged from the RIL.

Field 33. Date of Court Disposition

ENTRY REQUIRED

Enter the month, day and year {use a leading zero (0) for any month or day less than ten (10)} that the court adjudicated the petition. This date cannot precede the date that the juvenile petition was filed.

Field 34. Date of Adjudication Notice to the Division

ENTRY REQUIRED

Enter the month, day and year [use a leading zero (0) for any month or day less than ten (10)] that the Division was notified of the Court's adjudication decision. This date cannot precede the date of the court decision listed in Field 34. This must be entered into the system no later than 5 days from the date of the Adjudication hearing. **This date will be auto-filled on the date of entry.**

VI. RIL INQUIRY TRANSACTION TRACKING SCREEN (Option 6)

A. General Information

The Central Registry Responsible Individual List System (RIL) is changed to provide a historical tracking screen of changes made to the DSS-5104a.

When changes are made in CR that impacts the RIL, the changes will be tracked from the initial RIL entry and continues throughout the life cycle of the DSS-5104a.

When changes are made to the DSS-5104a that already exists in the RIL System, the changes will also be tracked from the initial RIL entry and continues throughout the life cycle of the DSS-5104a.

Historical records are tracked for all transactions for the RIL from the date created through the history of the RIL.

Both the Central Registry and the RIL generate transaction records. To view, the user must have INQUIRY access.

Logon Procedures:

From the Banner screen, key 'CICSNC16'. Press Enter. On the blank screen key 'SY01'. Press Enter. The Central Registry Selection Menu displays.

SY01 CYA001FM	DATE: 04/04/2008																														
	TIME: 15:35:56																														
STATE OF NORTH CAROLINA DEPARTMENT OF HUMAN RESOURCES CENTRAL REGISTRY SELECTION MENU																															
<table border="1"><thead><tr><th>FUNCTION</th><th>KEY</th><th>SELECTIONS</th></tr></thead><tbody><tr><td>DSS-5104 ENTRY</td><td></td><td>1</td></tr><tr><td>DSS-5104 INQUIRY</td><td>FORM NUMBER</td><td>2</td></tr><tr><td>DSS-5104 CHANGES</td><td>FORM NUMBER</td><td>3</td></tr><tr><td>VICTIM NAME DISPLAY</td><td>LAST, FIRST, MI</td><td>4</td></tr><tr><td>SOUNDEX VICTIM NAME DISPLAY</td><td>LAST, FIRST</td><td>5</td></tr><tr><td>PERPETRATOR NAME DISPLAY</td><td>LAST, FIRST, MI</td><td>6</td></tr><tr><td>ADMINISTRATIVE MENU</td><td></td><td>7</td></tr><tr><td>FATALITIES MENU</td><td></td><td>8</td></tr><tr><td>RIL MENU</td><td></td><td>9</td></tr></tbody></table>		FUNCTION	KEY	SELECTIONS	DSS-5104 ENTRY		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	RIL MENU		9
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<table border="1"><thead><tr><th>SELECTION</th><th>KEY</th></tr></thead></table>		SELECTION	KEY																												
SELECTION	KEY																														
CYA261 - PLEASE MARK A SELECTION.																															

From the Central Registry Selection Menu, enter 9 in the SELECTION field. Press ENTER. The Responsible Individual List Main Menu displays.

```

CYA050FM          RESPONSIBLE INDIVIDUAL LIST          04/04/2008
                   MAIN MENU                          08:33:54

OPTIONS           DESCRIPTION                          KEY
-----           -
1                UPDATE BY RIL CLIENT              RIL NUMBER
2                INQUIRY BY RIL CLIENT              RIL NUMBER
3                SSN SEARCH (UPDATE AND BROWSE)     SSN
4                NAME SEARCH (UPDATE AND BROWSE)     LAST, FIRST, MI
5                CENTRAL REGISTRY MENU              NONE
6                RIL INQUIRY TRANSACTION TRACKING    RIL NUMBER

OPTION 6          KEY XXXXXX

PF4=EXIT RIL
SELECT OPTION
  
```

B. From the Responsible Individual List Main Menu, enter 6 in the OPTION field and a valid six digit RIL Number in the KEY field. Press ENTER. The Responsible Individual List Transaction Tracking Inquiry Screen displays.

```

CYA070FM          RESPONSIBLE INDIVIDUAL LIST          DATE 4/04/2008
                   TRANSACTION TRACKING INQUIRY SCREEN  TIME 08:32:48
                   FORM: xx3884
                   PLACE AN I BESIDE THE DESIRED TRANSACTION AND PRESS ENTER
----- TRANSACTION ----- USER ----- TRANSACTION ----- USER
SEL  DATE      TIME      ID      SEL  DATE      TIME      ID
---  -
20071015  17.09.41  HRSSxxx  20080331  08.53.59  TS3xxx
20080331  08.57.01  TS3xxx   20080331  09.11.33  TS3xxx

PF3=MAIN MENU  ENTER=INQUIRY  PF7=PAGE BACK  PF8=PAGE FORWARD
CYA705: END OF HISTORICAL RIL FORMS REQUESTED FOR DISPLAY. 100
  
```

- C.** To select a transaction, enter 'I' (Inquiry) to the left of the transaction under the SEL column. Press ENTER. The RESPONSIBLE INDIVIDUAL LIST REGISTER, RIL INQUIRY TRACKING screen displays.

The RIL INQUIRY TRANSACTION TRACKING SCREEN displays transactions related to the RIL form keyed and displays a maximum of 26 transactions per page.

CYA075FM	RESPONSIBLE INDIVIDUAL LIST REGISTER					DATE:	04/04/2008
ACTION:	RIL INQUIRY TRACKING					TIME:	12:45:07
RIL FORM: XXXXXX	DATE: 20080331	TIME: 09.43.49	USER: XXXXXXXX				
<u>RESPONSIBLE INDIVIDUAL</u>							
LAST NAME	FIRST NAME	MI	DOB	AGE	RACE	SEX	SSN
<u>INVESTIGATIVE ASSESSMENT FINDINGS</u>							
CTY	CYA FORM	INITIAL REPORT	CASE DECISION	RIL CODE	NOTICE DEL		
<u>REQUEST FOR EXPUNCTION: DIRECTOR REVIEW</u>							
REQUEST REC'D	DECISION DT	DECISION	MOD TYPE	NOTICE IND	NOTICE DIV		
<u>REQUEST FOR EXPUNCTION: DISTRICT ATTORNEY REVIEW</u>							
REQUEST REC'D	DECISION DT	DECISION		NOTICE IND	NOTICE DIV		
<u>PETITION FOR EXPUNCTION: DISTRICT COURT</u>							
PETITION DT	HEARING DT	DECISION	MOD TYPE	DECISION DT	CRT NOTICE		
<u>JUVENILE PETITION: ADJUDICATION HEARING</u>							
PETITION DATE	ADJ DISP	TYPE COURT	ADJ COURT DISP DATE	ADJ NOTICE TO DIV			
<u>PF3=MAIN MENU PF5=SEARCH INQUIRY PF7=PREV TRANS PF8=NEXT TRANS</u>							
<u>CYA702 ALL HISTORY INFORMATION IS NOT AVAILABLE FROM FORM/PERP TABLES 100</u>							

1. ACTION

This field indicates what type of action was keyed to create the transaction. The following Action Types display on the RESPONSIBLE INDIVIDUAL LIST REGISTER, RIL INQUIRY TRACKING screen.

ADD displays if the CR and RIL code keyed was 10, 20, or 30.

PERP DELETE displays if the perpetrator is deleted from an existing CR DSS-5104 case or when an RIL form is deleted within the RIL Update Menu.

CASE DELETE displays if the CR DSS-5104 case is deleted via the Administrative Menu/Report Delete function.

CR UPDATE displays when the case is updated in the CR via DSS-5104.

UPDATE displays when a case is updated in the RIL system via DSS-5104a.

2. DATE

The date the transaction was keyed displays in the DATE field.

3. TIME

The time the transaction was keyed displays in the TIME field.

4. USER

The user id of the worker that keyed the transaction displays in the USER field.