

NYS Justice Center Investigations Job Aid Case Closure Checklist – SOA Investigators

As of September 2013

The following checklist should be followed when ready to complete an investigation and prior to sending to the Justice Center for review and closure.

Case Closure Checklist:

- Up-to-Date VPCR Record:** Complete the proper **Notes**, **Attachments**, and **Evidence** tabs in the VPCR. If a document is uploaded in the **Attachments** tab, it does not need to be documented in the **Evidence** tab
- Contact Records:** Add or Create a Contact record for the following Contacts, at a minimum, within the **Contacts** tab. You should always search for an existing Contact record before creating a new record. You may update current Contact records as appropriate either within the Case Record or clicking directly on the Contact record (click on the hyperlink). An address is required for each of these contact records
 - Facility/Provider Director
 - Suspect (Home address)
 - Victim (Home/residence address)
 - Personal Representative of the Victim (Home address if parent/relative and relationship, if known)
- Offenses:** Create at least one Offense for each case regarding the allegation(s) being investigated. If a Criminal Offense is created, a corresponding Non-Criminal Offense should also be created. If more than one allegation or suspect exists, more than one Offense should be created. Likewise, if there is more than one victim, an offense should be created for each victim. When completing the Investigation, the Investigator follows the additional guidelines below for each Offense:
 - A **Suspect** and **Victim** should be associated with each Offense, utilizing the Contact records already created in the **Contacts** tab. If the Suspect is unknown, enter a contact record of "Unknown Unknown" or "Joe Doe" with the Type of "Custodian" to relate to the Offense
 - Enter an **Offense Code** appropriate for the allegation
 - Enter a **Determination Date** of when you make the determination
 - Enter an **Investigation Outcome** of "Substantiated" or "Unsubstantiated"
 - If Substantiated, enter an **Investigation Category** of "Category 1, 2, 3, 4"
 - If Unsubstantiated, do NOT enter an Investigation Category and leave it blank; do not Seal the record
 - Do NOT update the Adjudication Outcome or Adjudication Category fields
- Description:** In the Case Header, enter in a description of what was discovered during the investigation (and not the allegation) in the **Description** field; do NOT include the final determination. Note, this field locks after saving
- Narrative Note:** Enter a narrative of the Investigation as either a note in the **Notes** tab or as a separate **Attachment**. The narrative should include: Summary of the allegations and involved parties; Description of the Incident; Summary of the Investigative process; Summary of facts; and Description of mitigating/aggravating circumstances with recommendations for corrective actions (the specific determination should not be included)

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- Closure Tab:** In the **Closure** Tab, enter in the following fields. These fields should be at a summary level and are limited to 255 characters:
 - Offense Summary:** Summary of what occurred, key related circumstances
 - Determination Summary:** Factors leading to the determination, final determination, whether circumstances in which the event occurred met the current acceptable standards of practice
 - Date of Determination:** Date the determination was made in the Offenses tab; if more than one Offense determination, the latest date
 - Preventative Actions Needed:** Yes or No
 - Recommended Preventative Actions:** List of preventative/corrective actions recommended for each finding and list of any actions already taken
- Notify the Justice Center for Review:** Once you have completed the steps above, you will perform the following tasks to notify the Justice Center that the case is ready for review and closure:
 - Select "Pending Review" for the **Sub-Status** field
 - Send the Justice Center an email via **F9** in VPCR stating the case is ready for review to incidentreview@justicecenter.ny.gov
 - Do NOT change the Status to Closed and do NOT fill in the Case Closure Comments
 - Do NOT add the Justice Center to the case record; the Justice Center will already have access to the record

The Justice Center Incident Review and Assignment team will review the case, let you know of any questions/feedback, and forward the case to the Office of General Council (OGC) for final review and closure. OGC may make minor changes to the case file if needed or contact you directly for more major changes/questions.

For any questions regarding these processes, please contact: Pam Williams, Triage Supervisor HQ at Pam.Williams@Justicecenter.ny.gov.

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