

**TO:** AIN Representatives of DOH, OASAS, OCFS, OMH, OPWDD, and SED  
**FROM:** Jay Kiyonaga, Executive Deputy Director JK  
**DATE:** September 10, 2013  
**SUBJECT:** Case Closure Process Reminder-SOA Investigators

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The Justice Center has been in operation for over 60 days and is in the process of reviewing and closing cases as investigations are completed. As a reminder, attached is a process checklist regarding the closure process for Cases of Abuse and Neglect as well as Significant Incidents. These materials should be distributed to Investigations staff to use when completing investigations and reviews.

Key points to consider for each record type are:

**Cases of Abuse and Neglect:**

- SCR check is required for all identified suspects
- Contact records must be included (with appropriate addresses) for suspects, victims, personal representatives, and provider/facility directors
- At least one Offense with a recommended outcome/determination must be made in the case record
- The Closure tab must be complete
- The SOA Investigator sets the Sub-Status to Pending Review and sends an email via F9 in VPCR stating the case is ready for review to [incidentreview@justicecenter.ny.gov](mailto:incidentreview@justicecenter.ny.gov). The SOA Investigator does NOT close the case record

**Significant Incidents:**

- Contact records must be included as appropriate
- The Closure tab must be complete
- The SOA Investigator sets the Status to Closed and the Sub-Status to Closed – Delegated once he or she is completed with the review
- The Justice Center Oversight and Monitoring team will be conducting audits of Significant Incident records after the record is closed

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

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Cc: Jeff Wise  
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(Revised: 10/13)#