

December 14, 2018



PERFORMANCE OF CORRECTIVE
ACTIONS OF THE JUDGMENT IN

THE PEOPLE OF THE STATE OF CALIFORNIA v.
HUMBOLDT COUNTY DEPARTMENT OF HEALTH
AND HUMAN SERVICES AND HUMBOLDT
COUNTY SHERIFF'S OFFICE

PROGRESS REPORT
MONITORING PERIOD I
(FEBRUARY 14-AUGUST 31, 2018)



**Center for the
Study of
Social Policy**
Ideas into Action

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The People of the State of California
v.
Humboldt County’s Department of Health and Human Services
and Humboldt County Sheriff’s Office

Monitoring Period 1 (February 14, 2018 – August 31, 2018)

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*People of the State of California v. Humboldt County's
Department of Health and Human Services' and Sheriff's Office*
Progress Report for the Period February 14, 2018 – August 31, 2018

I. Background and Introduction

In 2015, after receiving complaints that the Humboldt County Department of Health and Human Services' Child Welfare Services (DHHS CWS) and Sheriff's Office (HCSO) were not always properly receiving, responding to and investigating reports of child abuse and neglect, the Attorney General of the State of California (AG) authorized an investigation to determine whether CWS and HCSO were complying with California's Child Abuse and Neglect Reporting Act (CANRA) and related provisions of the Welfare & Institutions Code.^{1,2} The investigation revealed areas needing significant improvement in both systems.

During 2016 and 2017, there was also a Humboldt County Civil Grand Jury investigation, spurred by complaints from superintendents of multiple school districts, which concluded that CWS and HCSO were not adequately providing services to children.³ DHHS, CWS and HCSO began to address several urgent issues during this time, including implementing a call system to connect reporters of suspected child abuse and/or neglect directly to a social worker screener and closely attending to reports of alleged child abuse or neglect requiring responses from child protection and law enforcement.

Humboldt County counsel representing DHHS and HCSO worked with the AG's Office to agree on actions to correct deficits and clarify and change how law enforcement and child welfare handle child abuse and neglect reports in Humboldt County. The corrective actions address findings and recommendations from both the AG's and Grand Jury's investigation.

The AG's Office filed a petition, complaint, and stipulation by Humboldt County's DHHS and Sheriff's Office with the Superior Court of the State of California on February 13, 2018 and the Court entered the Final Judgment (Judgment) into the record on February 14, 2018. The Judgment includes corrective actions governing how CWS and HCSO will respond to situations involving alleged abuse and/or neglect of a child.

¹CA Penal Code § 11164,
https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=PEN&division=&title=1.&part=4.&chapter=2.&article=2.5

² CA Welfare and Institutions Code § 16504,
http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=WIC§ionNum=16504; CA Welfare and Institutions Code § 5328 CA Welfare and Institutions Code § 16504;
https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=WIC§ionNum=5328

³<https://humboldt.gov/DocumentCenter/View/59737/2---Responding-in-Time-to-Help-Our-At-Risk-Children>

A copy of the Stipulation by Parties and the Judgment are Appendix II of this report. The Judgment includes a Memorandum of Understanding (MOU) (Exhibit A of the Judgment) between Humboldt County's DHHS and Sheriff's Office. The MOU sets forth specific procedures related to coordination between the CWS and HCSO to ensure compliance with California's Child Abuse and Neglect Reporting Act (CANRA), including designating CANRA Coordinators at both HCSO and CWS; making reports to each other and other local law enforcement agencies; and responding jointly to alleged child abuse or neglect. Parties agreed to the Court retaining jurisdiction for a period of three years, unless that time is extended by mutual agreement in writing and/or by order of the Court for good cause. The MOU is Appendix III of this report.

The Judgment creates systems for continued conversation and action in collaboration with tribes (tribal protocols and procedures) and community members (mandated reporter and community-based resource guides, Task Force) to achieve common goals.⁴ By creating a Community Task Force, the Judgment provides opportunities for child and family serving professionals to recognize what is working well within the child protection and law enforcement systems in the county and troubleshoot when there are agency and cross-systems issues. Expected products of the Task Force are: a compilation of community-based resources for children and families to be used by families in need and those who work with them; a process for mandated reporters to contact CWS and gain clarity on what to expect during and after a report is made to CWS. DHHS, HCSO and others expect that a range of Humboldt County law enforcement will participate in the Community Task Force. The Judgment creates structures and protections in the forms of agreements and confidentiality rules for interrelated systems work with families. It also contains several corrective actions aimed at making sure CWS has appropriate staffing levels, that CWS and HCSO provide staff initial and ongoing training, coaching and other opportunities to develop skills. Overall, the agreements that make up this Judgment are intended to help strengthen the County's child protection and law enforcement systems' response to families and children in crisis.

There is a provision in the Judgment for the selection of a qualified third-party compliance monitor, with preference given to the AG's pre-approved monitor, to ensure compliance with the provisions of the Judgment, conduct reviews, provide a written report every six months following the entry of the Judgment for a period of three years, and make recommendations to the Parties.⁵ The Judgment refers to "*a qualified third-party compliance monitor who shall be provided access to information and documents to ensure compliance with the injunctive provisions of (the) Judgment*".⁶ The role of a compliance monitor differs from the monitoring of CWS from the state, especially in this case where many of the actions needed been required by the state for years. Defendants agreed to retain the AG's pre-approved monitor at Defendants' expense. Parties agreed that the monitor shall conduct a review and prepare a written report bi-annually.

⁴ Judgment Section N refers to Tribal Collaboration; Section II refers to the Community Task Force.

⁵ Judgment Section 4 refers to monitoring reports for a period of 3 years, unless time is extended pursuant to Section 9 of the Judgment.

⁶ Judgment Section 4.

Humboldt County’s Department of Social Services and Sheriff’s Office contracted with the Center for the Study of Social Policy (CSSP) on July 9, 2018 to serve as the third party compliance monitor, retroactive to April 14, 2018. CSSP works nationally on federal, state, and county policy as well as on community, systems, and program levels to improve conditions for families and children with a focus on equity.⁷ CSSP brings decades of experience working with federal, state and local partners, parents, and youth to improve experiences with and outcomes of multiple systems, including child welfare systems. CSSP has also served as monitor and technical assistance provider to several state and county child welfare systems involved in federal class action cases. CSSP’s approach to monitoring child welfare systems engaged in reforms, such as those required by this Judgment, includes seeking input from system leadership and staff, community partners, consultants engaged in supporting the reform, tribal and community representatives, service providers, parents and youth.

In fulfilling its responsibilities as monitor of this Judgment, CSSP seeks to comprehensively review, understand, and report on the policies and actions taken by Humboldt County DHHS, CWS and the Sheriff’s Office and the results of those actions. CSSP’s responsibility is to not only report whether DHHS, CWS or HCSO has completed a specified action but, in some cases, to assess the quality and impact of that action. For instance, going forward, CSSP will assess whether not only a particular policy was developed but also how it is implemented in practice, observing and reporting on how the policy has been communicated to staff and others affected and reviewing records to make sure the requirements of the policy are reaching consistency in practice and producing intended outcomes. Further, the AG’s Office has asked that CSSP respond to individual case complaints about DHHS, CWS and HCSO that are related to the requirements of the Judgment. As in other monitoring engagements, CSSP staff will receive inquiries and complaints from the public about individual case and systemic problems related to the scope of this Judgment. CSSP will encourage complainants to use the complaint procedures in place with both CWS and HCSO as part of this Judgment, as a prior step in problem solving. For relevant individual complaints, CSSP will gather additional information and work with Parties as they seek to understand and resolve the issues raised in both individual case and system issues. Appendix IV of this report describes the protocol CSSP will use in responding to complaints.

This is the first report on the progress of DHHS and HCSO in completing agreed upon corrective actions of the Judgment, entered in *People of the State of California v. Humboldt County’s Department of Health and Human Services and Sheriff’s Office*. The period covered in this report is referred to as a monitoring period, and is generally six months; Monitoring Period 1 (MP1) spans February 14, 2018 to August 31, 2018.

Section II of this report describes CSSP’s monitoring activities during this period. Findings are included in three sections - Section III is a summary of DHHS and HCSO performance in completing corrective actions of the Judgment; Section IV discusses progress made, organized by substantive areas; and Section V is a Summary Table containing each of the corrective actions

⁷ <https://www.cssp.org>

required to be completed during this period and status as of August 31, 2018. Gayle Samuels, Judith Meltzer, and Arthur Argomaniz prepared this report, with support from Erika Feinman and Rachel Paletta, for presentation to Parties and the public.

II. Monitoring Activities

Pursuant to the Judgment, CSSP is responsible for reviewing and reporting on the steps DHHS and HCSO have taken to ensure compliance with the provisions of the Judgment. In carrying out this responsibility during monitoring period 1, CSSP staff have sought to verify that CWS and HCSO have implemented steps required during the first six months after entry of the Judgment, many of which are procedural. During this monitoring period, CSSP has:

- Maintained communication with the AG's Office on the status of our work.
- Met with County counsel, leadership and staff at DHHS, CWS and HCSO; tribal representatives of the eight Federally recognized tribes in Humboldt County including tribal council members, social services leadership and/or staff of the Big Lagoon Rancheria, Bear River Band, Blue Lake Rancheria, Hoopa Valley Tribe, Karuk Tribe, Trinidad Rancheria, Wiyot Tribe and Yurok Tribe.
- Collaborated with staff of the National Council on Crime and Delinquency (NCCD) and Olin Jones, Tribal Consultant, both retained by Humboldt County to carry out specific responsibilities pursuant to the Judgment.⁸
- Observed CWS' leadership meetings, technical assistance and training sessions, participated in meetings to prepare for and the Community Task Force required by the Judgment.
- Spoken with many interested individuals, representing various sectors including educators, physicians, Family Court staff, adoptive and foster parents, advocates, and service providers.
- Reviewed individual case complaints, as requested by the AG's Office.
- Analyzed data provided by CWS and HCSO.

CWS facilitated CSSP gaining access to the CWS Case Management System (CMS), which is necessary for future data verification related to the Judgment's requirements. HCSO intends to

⁸ <https://www.nccdglobal.org>

replace their electronic/manual cross-reporting system with the implementation of their updated Records Management System, expected to be in place in September 2018. CSSP observed HCSO's manual system for tracking cross reports and will gain an understanding of the new cross-reporting tracking system during the next monitoring period.

This first report focuses on the structures, policies, and procedures, which the Judgment required DHHS, CWS, and HCSO to put into place. CSSP cannot yet report on many aspects of implementation or desired practice changes and outcomes, except in a descriptive way as data have not yet been fully analyzed or validated. As needed, data will be validated in the next monitoring period, September 1, 2018 through February 28, 2019.

In future monitoring reports, CSSP will review and independently validate materials and data supplied by Humboldt County DHHS and HCSO. CSSP will supplement this data with information from NCCD, the County's other retained consultants, tribal leaders, community partners including members of the Community Task Force established under the Judgment, children, families, and staff involved with child protection and law enforcement, particularly the Humboldt County Sheriff's Office.

CSSP will work with County staff and NCCD, to build CWS and HCSO's internal data tracking and quality improvement capacities related to the impact of the actions taken in response to this Judgment. This should help streamline CSSP's monitoring activities and assist CWS and HCSO in deciding on which aspects of monitoring to sustain as part of a system of continuous quality improvement once the Court jurisdiction ends.

III. Summary of Performance

HCSO and CWS staff and leadership have verbalized and demonstrated a commitment to improving the child protection system and completing the corrective actions of the Judgment. CWS began work towards improvement prior to February 14, 2018. Since that time both agencies have allocated staff time and other resources to the work. HCSO quickly took steps to implement some of the required corrective actions, such as updating policies and training staff. CWS has dedicated several days each month for NCCD onsite activities, including training and coaching, and check-in sessions by phone at other times during the months. Staff is actively participating in training, and coaching and report they are building practice, supervisory and managerial skills. CSSP has had the opportunity to observe case discussions and witness application of the Humboldt County Practice Model, further evidence of the dedication of members of the workforce.

Both HCSO and CWS have accomplished significant tasks during this monitoring period. CWS staff at multiple levels has worked diligently to reduce a backlog of investigations, establish, and operate a 24-hour hotline to receive reports of suspected abuse or neglect.⁹ CWS and HCSO have

⁹ Investigations open for more than 40 days after a report are considered in the backlog.

used electronic (and manual work-around) systems to track reports requiring their joint attention; drafted and edited policies; ensured staff received new policies; and provided staff with training and support to begin to achieve the outcomes intended by the corrective actions.

CWS contracted with a tribal consultant who is meeting with CWS, tribal social services and tribal leadership to assist in drafting protocols for collaboration between CWS and tribes. The tribal consultant also facilitated meetings between CWS and tribes for input on policies and procedures primarily affecting tribal children.

The County created the required Community Task Force. HCSO, DHHS, and CWS held two meetings after the initial kick-off in May 2018. An NCCD consultant is assisting with planning and facilitation. Attendance is good and leadership and members are seeking to diversify the group and increase representation. A subcommittee to review and provide feedback on CWS policy and procedure formed and CWS began to work with this group during this monitoring period. Many in the group joined the subcommittee to help create the Mandated Reporter Guide/Child Protection Reporting Guide. The Guide will not replace the County's role and responsibility to receive all reports of suspected abuse and/or neglect. Another NCCD consultant is using a participatory approach to develop, test, and finalize a web-based community resource and reference. The process and resulting Guide should help increase understanding of the scope and role of child protection, law enforcement, and mandated reporters. The process and Guide have the potential to foster collaboration and information sharing across sectors. Ultimately, the Task Force may serve as a mechanism for mutual accountability across participants in varied roles in supporting children and their families. Work on the Guide should also inform conversation about creating a resource guide, another goal of the Community Task Force as per the Judgment.

There are multiple corrective actions in the Judgment which require increased coordination and tracking by CWS. Despite a desire to meet all deadlines, CWS has struggled to keep pace with the timelines of the Judgment while building the infrastructure to carry out its requirements. To respond to the Judgment's corrective actions, CWS needed to build staff capacity in some areas and ease the workload of current staff in others. By the end of this monitoring period, DHHS dedicated a portion of an additional staff person's time to focus on facilitating and monitoring the progress of changes related to the Judgment. The addition of this new leadership staff with dedicated time to tracking the Agreement's timelines and deliverables should be helpful to all parties. DHHS also added a full-time analyst-level position to support analytical work related to the Judgment and overall system improvement.

The goals of the Judgment require multiple changes in many aspects of CWS and HCSO's operations. This difficult work requires resources, capacity, time, and commitment. For some HCSO, DHHS, and CWS staff, tasks related to the Judgment are new and in addition to tasks which existed prior to the Judgment; they have not been relieved of the demand to attend to their "pre-existing" daily tasks; daily work to attend to the needs of families and children in Humboldt County. The high turnover and vacancy rate of CWS staff increase the challenge of meeting federal, state, and best practice requirement, many of which appear as Agreements in the Judgment.

DHHS reports implementing a number of recruitment strategies to fill vacant positions but even with those positions filled, needing to add four social worker supervisor and 25 social worker positions.

A section of the Agreement includes steps to address and improve practices and systems on behalf of tribal children. There are roadblocks along the path towards healing the longstanding divides between HCSO, DHHS, CWS, and the tribes, adding to the difficulty of this work. Tribal social services representatives, who function with similar demands but fewer staff and resources, state that they have participated in many efforts with CWS in the past, as requested by CWS or DHHS but those systems have not consistently updated them about the results. A further complication came in late June 2018 when as CWS' work to collaborate with tribes, as required by the Judgment, began in earnest. The history of multiple system involvement of a family in a high profile child fatality case revealed troubling missed opportunities and many of the systemic and practice concerns the Judgment seeks to correct. Therefore, tribal representatives although interested and supportive of the planned reforms, come to this work with skepticism and prior distrust and a high sense of urgency.

IV. Discussion of Progress

The following is a discussion of progress by CWS and HCSO in key substantive areas of the reform work and Judgment.

A. Tribal Collaboration

The Judgment includes particular attention to tribal children who are overrepresented in the county's foster care system, compared to their total population in the county. CWS agreed to develop a protocol with each tribe and clarify procedures for collaboration. CWS agreed to engage a tribal consultant to help achieve that task. Tribal representatives want increased collaboration and partnership between CWS and tribal social services and the requisite attention to recognizing and respecting sovereign rights.

The Humboldt County Grand Jury cited a California Department of Social Services study from 2015 data stating, "while tribal children represented seven percent of the total make-up of children in Humboldt County, they represented approximately 38 percent of the foster care population of Humboldt County Child Welfare Services."¹⁰ The overall child population in the County remained stable from 2015 to 2017.¹¹ Data provided by CWS and reflected in Figure 1 show that on January 1, 2017, children identified as *primarily or secondarily American Indian* represented 35 percent (148 of 427) of the children involved in an open investigation.¹² CWS data from the same day,

¹⁰ <https://humboldt.gov.org/DocumentCenter/View/59737/2---Responding-in-Time-to-Help-Our-At-Risk-Children>

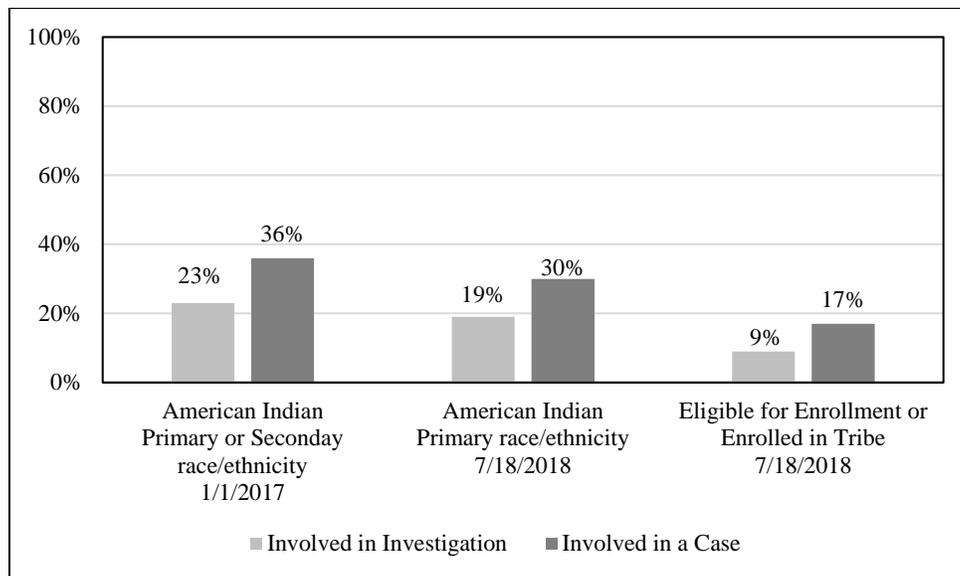
¹¹ <https://www.census.gov>

¹² CWS' electronic data system identifies American Indian under the heading race/ethnicity.

January 1, 2017 reflect that children identified as *primarily or secondarily American Indian* represented 36 percent (243 of 671) of children in a family with any type of CWS case, a child(ren) in foster care or at home with their parent(s).

Point in time data from July 18, 2018 shows that children identified as *primarily American Indian* represented 19 percent (67 of 351) of children named in a CWS investigation and almost 10 percent (32 of 351) were eligible for enrollment or enrolled in a tribe. On the same day, July 18, 2018, children identified as *primarily American Indian* represented 30 percent of children (197 of 655) involved in a family maintenance services or foster care case, almost 20 percent (111 of 655) were eligible for enrollment or enrolled in a tribe.

Figure 1
American Indian Children Involved with Humboldt County CWS
1/1/17 and 7/18/18



Source: Humboldt County CWS

The County and tribes have a history of joint work on behalf of all children in Humboldt County. Tribal representatives have expressed that over the years, some of that work has not resulted in increased engagement and trust. For some tribal representatives, confidence in CWS’ ability to adhere to agreements is low. A July 14, 2016 report, prepared for Humboldt County by the National Indian Child Welfare Association (NICWA) stated, “[t]he relationship between the Humboldt Department of Health and Human Services and local tribal governments and tribal communities is in need of further attention, and a revised strategy on how to address concerns between the Parties and pave a way forward for a more productive and equitable relationship.”¹³ Tribal representatives

¹³ NICWA prepared Humboldt County Child Welfare System Review Report as part of Humboldt County’s participation in the California’s Partners for Permanency Project/CAPP, a federally funded demonstration. NICWA holds a contract with CWS through June 30, 2018 to provide technical assistance in implementing recommendations on this report.

have continued to work with CWS, but the work on this Judgment is taking place in the context of deep skepticism.

1. CWS issued a draft revised policy and procedure on notification and collaboration with tribes during intake.

On March 16, 2018, CWS circulated intake policy to staff that clarified requirements for screening, including that social workers inquire about a child's membership or eligibility for membership in a tribe and that they contact tribal social services or a tribal representative if a child is enrolled or may be eligible for enrollment. CWS leadership told staff that policies, which underwent initial review by NCCD for alignment with statewide policy, would be further updated as CWS worked with tribal representatives and NCCD to gain input and finalize. CWS expects to circulate updated intake policy and procedures for social workers who screen reports and updated investigation policy and procedures for social workers who conduct investigations by December 31, 2019.

2. Though not completed during the initial nor extended Judgment timeframes, CWS is gaining input from tribes on policies.

CWS did not reach out to tribes to begin the work to gain input on revisions to policies and procedures requiring tribal decision-making until late June 2018. Therefore, CWS did not meet the Judgment's initial June 14, 2018 deadline for updating policies with tribal input. On June 25, 2018, at DHHS' request, the AG extended the deadline for CWS updating policies with tribal input for 60 days to August 24, 2018. The first meeting between CWS and tribal representatives to clarify requirements and agree on procedures was positive. Following that, there was misinterpretation and miscommunication about which policies were to be updated with tribal input per the Judgment and the requisite deadline for such updating. On October 1, 2018, CWS told tribal partners they would first focus on receiving input from tribes on policies related to tribes contributing to decision-making, as specified in the Judgment. CWS expects to share all policies with tribal social services, Task Force members, and others. CWS also expects that all policies and procedures will be publicly available on the DHHS website by the end of 2019. There are nine policies for community review covered by this Judgment as shown in Table 2 on page 24 of this report.

The DHHS/CWS initial process for obtaining tribal input on policies and procedures was imperfect and further strained relationships between tribes. CWS and county leaders have indicated their interest and intent in moving forward to solicit and consider tribal input on policies and procedures as this work continues and being more responsive to expectations around timelines for these actions, as well as other actions that are going to require collaboration around shared goals.

3. *CWS contracted with a tribal consultant who has begun to facilitate collaboration between CWS and tribes.*

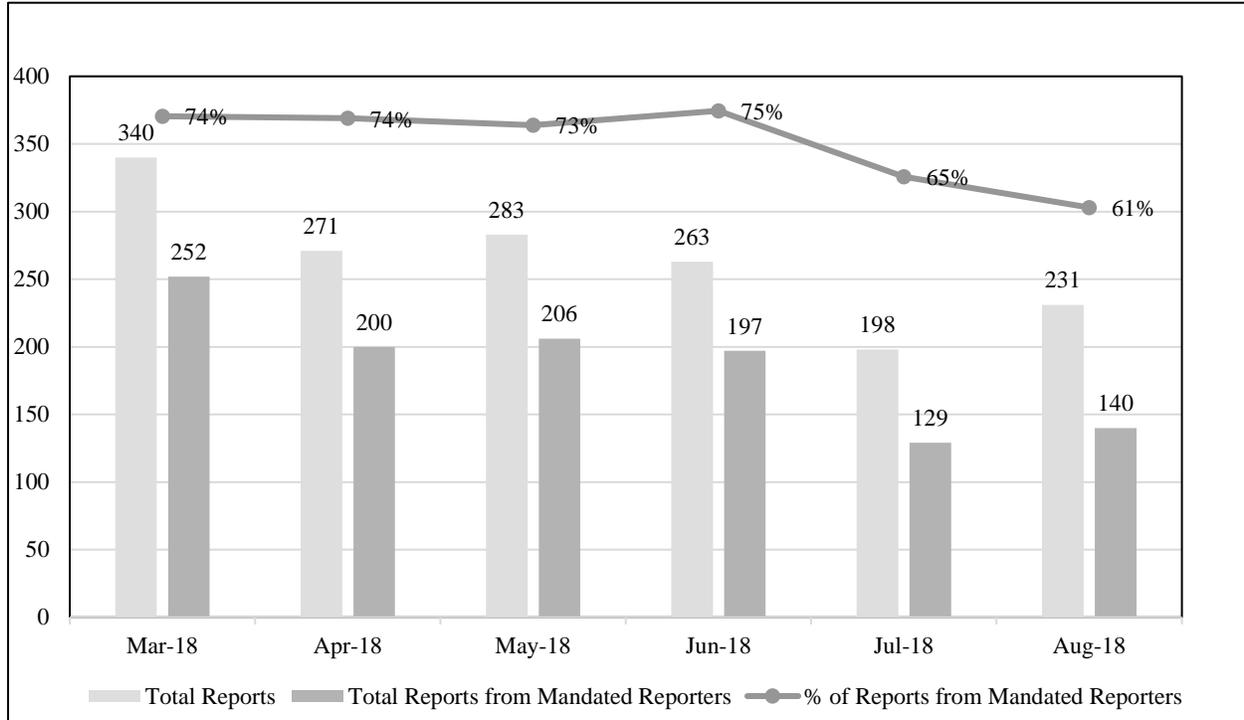
On July 10, 2018, CWS contracted with Olin Jones to serve as tribal consultant pursuant to the Judgment. Tribes of Humboldt County jointly identified and agreed on Mr. Jones for this role and the AG's Office agreed with this selection. Mr. Jones has demonstrated success in prior roles within the California Governor's and AG's Offices in facilitating collaboration between state agencies and tribes, local government, and non-profits. In his role with Humboldt County, he has met with tribal council members; tribal social service directors and staff; CWS leadership and staff; and NCCD consultants.

B. Community Task Force and Inter-Agency Coordination

Recognizing the importance of systems and community collaboration, the Judgment requires the formation of a Community Task Force of internal and external stakeholders, including mandated reporters. According to the Judgment, Task Force participants are expected to be community representatives and those including, though not limited to, the following: school districts, Humboldt County Office of Education, Department of Probation, DHHS' Mental Health Division, local law enforcement, tribes, and medical providers, specifically pediatricians and/or representatives of local children's hospital.¹⁴ Figure 2 reflects data from March to August 2018 on the number of child abuse and neglect reports CWS received and the portion of those reports that mandated reporters made. Mandated reporters are responsible for two-thirds to almost three-quarters of the reports, depending on the time of year.

¹⁴ These representatives are expected to make policy recommendations to their respective departments (Judgment, Section II).

Figure 2
Child Abuse and Neglect Reports Received by Humboldt County CWS
Total and Percentage from Mandated Reporter Reports
March to August 2018



Source: Humboldt County CWS

1. DHHS and the HCSO convened the Community Task Force.

The DHHS Director and Humboldt County Sheriff convened the first Community Task Force meeting on May 24, 2018. Per the Judgment, the Community Task Force is required to meet on a quarterly basis and has the following responsibilities: Discuss child abuse and neglect and child welfare issues in Humboldt County; provide input on policies related to CANRA within their own agencies; and create a web-based Mandated Reporter Guide which provides an overview of CANRA and the Welfare and Institutions Code.¹⁵ Minutes of the Task Force meeting are to be provided to the Monitor, the AG’s Office and the clerk of the Humboldt County Board of Supervisors.

A foster/adoptive parent and the superintendent of Humboldt County Public Schools co-chair the Community Task Force. With facilitation provided by NCCD, the group has defined a scope of work and organized its initial work into two subcommittees: 1) *Policy Review* and 2) *Mandated Reporter Guide*. The Judgment identified that DHHS and the Sheriff’s Office were to invite: persons representing the following sector to participate: school districts, Humboldt County Office

¹⁵ Mandated Reporter Guide subcommittee work projected for September 2018 through April 2019, with a completion date in the summer 2019.

of Education, Humboldt County Probation Department, DHHS, Mental Health Division, local law enforcement agencies, tribes, and medical providers. Representatives from each of these sectors have attended Task Force meetings regularly. The Task Force has met three times during this monitoring period with representation from education, service providers, tribes, county departments, law enforcement, medical providers, mental health, foster parents, and former Grand Jury members. County leaders devoted efforts during the summer of 2018 towards increasing participation from private service providers, local law enforcement agencies, schools, and tribal representatives. The goals are to diversify Community Task Force membership and assure that key decision-makers and leaders across the county are participating. The Task Force currently has two subcommittees, one working on providing input on CWS policy revisions and the other working to develop the Child Protection Reporting Guide, with plans to start a third subcommittee on *Data and Continuous Quality Improvement* in January 2019.

The Task Force presents an opportunity for a community of system representatives, practitioners, and concerned citizens to focus on preventing families from becoming involved with law enforcement and child protection. Task Force leadership and members can also work together to help ensure child protection and law enforcement agencies have what they need to help meet family's needs.¹⁶

2. DHHS and HCSO signed a MOU to work together on child abuse and severe neglect cases.

The Memorandum of Understanding (MOU) signed on February 26, 2018 by the Humboldt County Sheriff and Director of DHHS, addresses the following: establishes internal electronic tracking of joint reports of abuse and severe neglect within both CWS and HCSO; requires HCSO assign a case number for all reports received; creates a CANRA coordinator position at CWS and HCSO to supervise all child abuse and neglect investigations; and requires CWS and HCSO to forward applicable reports of child abuse or neglect to the District Attorney's Office and other law enforcement agencies. The MOU also establishes timeframes for HCSO to respond to CWS' reports.

In entering into the MOU, DHHS and HCSO also committed to reviewing performance data related to the MOU on a quarterly basis and meeting twice a year to discuss barriers to any of the processes set forth in the MOU and any recommendations of the third-party monitor. During this monitoring period, the CWS and HCSO CANRA coordinators have communicated regularly regarding cross reporting performance data and have updated leadership. Leadership from DHHS/CWS and HCSO has not met to review data but plan to do so in early 2019.

¹⁶ Humboldt County has created a website where the agenda and documents pertaining to meetings of the Community Task Force are posted, <https://humboldt.gov/2373/Community-Task-Force>

3. CWS and HCSO shared the DHHS-HCSO MOU and related draft policies with staff.

CWS circulated the MOU to staff by email on February 15, 2018 and reports that discussions with staff about the terms of the MOU have been held in staff meetings and supervision. CWS also circulated policy and procedures related to the MOU on June 26, 2018. These include:

- **CWS Intake, Policy and Procedure 18-03:** Applies to CWS' designated role in the County to receive reports of abuse and neglect, maintain records of such reports and, when a report is received that is outside of the geographic jurisdiction of Humboldt County CWS, and ensure the appropriate jurisdiction receives the report. CWS policy is to forward all reports of abuse and severe neglect to the correct law enforcement jurisdiction, which prompts a report to the DA. The Intake policy also addresses reporting all allegations concerning substitute care providers to the agency with responsibility for oversight of the provider's home.
- **CWS Cross Reporting Policy and Procedure 18-02:** Establishes a CANRA Coordinator role, addresses cross reporting to law enforcement, and contains instructions on how to use the electronic reporting system.

HCSO also circulated the MOU, and updated and shared the following policies relevant to the MOU with administrative, patrol, and non-sworn Sheriffs on March 14, 2018:

- **Child and Dependent Adult, Policy 380.1:** Applies to ensuring that children are safe and supervised in the event their caregiver or guardian is arrested or otherwise prevented from providing care due to actions taken by members of HCSO. Steps such as making reasonable attempts to determine if the arrestee is responsible for children, conducting arrests outside of the presence of the child and allowing the parent or caregiver to assure children that they will be provided care or doing so directly, when appropriate are contained in this policy are efforts made to reduce trauma to children who are present during or impacted by a parent, guardian or caregiver's arrest.

Policy 380 gives guidance on when to contact CWS, stating that, except when a court order exists limiting contact, deputies should place children with the non-arrested parent, guardian, or caregiver. When a second parent, secondary guardian or caregiver is not available, the deputy must allow the arrestee reasonable time to arrange for care of children; consider that temporary placement with family or friends may be appropriate; consider that it is generally best if a child remains with persons with whom the child is familiar; and give priority to a solution that is in the best interest of the child, respecting the parent or caregiver's Judgment, unless there is evidence to the contrary (e.g., signs of abuse, drug use, unsafe environment). Whenever an arrestee is unwilling or incapable of arranging for the appropriate care of any child, the handling deputy, who is responsibility for the case, should consider contacting (child) welfare service to determine whether protective custody is appropriate and only when other reasonable options are exhausted, including contacting child welfare, should a child be taken into formal protective custody.¹⁷

¹⁷ 330.6 states that generally, removal of a child from his/her family, guardian or other responsible adult should be left to the child welfare authorities when they are present or have become involved in an investigation.

- **Child Abuse, Policy 330:** Includes requirements that the investigating deputy notify the DA's Office and CWS of suspected child abuse and CWS of neglect and that a qualified investigator be available for child abuse investigations immediately or within 72 hours of receipt of a report, depending on the allegations, and guidelines for joint investigation. This policy also addresses extra jurisdictional reports, making it clear that HCSO will not refuse to accept reports of child abuse or neglect from reporters, including reports that fall outside its geographical jurisdiction and that the identity of mandated reporters will be kept confidential.

HCSO policy is to provide annual training on best practices in child abuse investigations to all Deputy Sheriffs. The Child Abuse policy states that HCSO will provide a Briefing Refresher Training twice a year. New deputies complete the best practices in child abuse investigations training as part of their four-month Field Training Officer Program and lateral transfers during the Field Training Program. The training includes requirements, policies and procedures of CANRA and other laws pertaining to child abuse, including the legal obligations of the Sheriff's Office and confidentiality requirements.

1. HCSO and CWS continued to participate in Humboldt County District Attorney's Child Abuse Service Team.

The Humboldt County Child Abuse Services Team (CAST) is a group of professional representing multiple disciplines, hosted by the District Attorney's Office (DA). The group consists of representatives from the District Attorney's Office, local Law Enforcement, Child Welfare Services, County Mental Health, tribal representatives, community service providers (including North Coast Rape Crisis) and Victim Witness' Advocates who collaborate to respond to the needs of children and youth requiring forensic interviews. CWS and HCSO agreed to continue to participate in Humboldt County CAST meetings as long as they were invited. The CWS Director, Emergency Response Program Manager/CANRA Coordinator, Emergency Response Supervisor/CAST interviewer, and HCSO CANRA Coordinator continue to participate in the Humboldt County DA's CAST monthly advisory board meetings. The group has reportedly met five times during this monitoring period.

- ***The CAST protocol is not yet final, however CWS has proposed interim steps to notify tribes of CAST meetings.***

The CAST protocol is not yet finalized. The Judgment required that Parties update the AG's Office on the creation on the CAST protocol, including what the Parties have done to facilitate completion. During this period, the protocol drafting subcommittee, which includes CWS and HCSO representation, has not met monthly as planned to finalize the document.

CWS has reported that they expect that the final CAST protocol will require that the CAST coordinator, a role within the Humboldt County District Attorney's Office, will notify tribal social workers of CAST interviews with sufficient time for the tribal social worker to attend. Pending finalization of the protocol and in order to ensure that tribal social workers are notified of CAST

interviews, CWS has drafted the following guidance for its workers for all cases requiring CAST intervention, involving children who are (1) described by Welfare and Institutions Code section 300 and/or dependents of the juvenile court; and (2) members of, or eligible for membership in, one of the eight federally recognized tribes in Humboldt County. CWS reported that if all Parties are in agreement, they will implement the proposed notifications and procedures outlined below as of October 17, 2018:

- i. The CWS social worker will provide notice to the tribal social worker of the scheduled CAST interview within one-hour of receiving notification of the interview from the DA's CAST coordinator;
- ii. The District Attorney will provide County Counsel written confirmation that the DA's office will include both the CWS and Tribal social workers in the CAST interview process and both social workers will have access to the same confidential information;
- iii. County Counsel will work with Olin Jones, Tribal Consultant, and representatives of each of the local tribes to draft a protocol (process) for CWS to notify tribal social workers of CAST interviews (including interviews occurring on weekends or afterhours) and for providing tribal social workers with all records material to the CAST interview.

2. CWS established confidentiality and information sharing agreements with other agencies.

In addition to the collaborations between county and state agencies described above, CWS and DHHS' Children's Mental Health (CMH) signed a two-year Multidisciplinary Team Agreement (MDT), dated March 16, 2018, establishing a child abuse MDT to identify and treat child abuse. As required by the Judgment, the MDT agreement addresses confidentiality of records and information sharing by each agency and Department that participates in the MDT for the purposes of preventing, identifying, or treating child abuse. Parties to the MDT include, but are not limited to: CWS, CMH, local law enforcement, local tribal social service agencies and tribal service providers.¹⁸

The sharing of confidential information between the children's mental health and child welfare divisions of DHHS is also addressed in CWS' Communication with CMH Policy and Procedure dated March 15, 2018. CWS' Mental Health Screening Tool (MHST) and Request for Access to Services Policy and Procedure, dated March 15, 2018, addresses the coordination of mental health and child welfare services and processes to ensure timely assessments of children in protective custody. CWS shared these policies with staff by email on March 16, 2018.

¹⁸ The Operational Agreement of the MDT remains in effect until March 16, 2020 and automatically renews each subsequent year for a total of five years through March 16, 2025; any party may terminate participation by giving 90-day notice to other Parties.

C. HCSO Training and CWS-NCCD Training and Technical Assistance Contract

The Judgment includes several specific training requirements for both CWS and HCSO staff, some specifically related to the MOU between HCSO and CWS as described above and some related to CWS agreements for ongoing technical assistance from NCCD, a continuation of work NCCD began in April 2015. CWS provided CSSP with documentation showing that beginning in July and as of August 2, 2018, all staff participated in training on CANRA, California Welfare and Institutions Code, confidentiality, CMS documentation procedures on cross reporting, and documentation of contacts with tribes. CWS staff and leadership also received updated classroom training on screening reports and evaluating risk as well as “on the floor” (i.e., while performing their job function) coaching from NCCD on intake tasks.

1. HCSO CANRA Coordinator facilitated training of new deputies.

The Sheriff’s Office’s CANRA Coordinator trained all staff in March 2018, kicking off a plan for annual CANRA training. HCSO reports the four new deputies hired after the March 2018 training will receive the same information in group or individual training. The training consisted of information about the HCSO corrective actions as part of this Judgment; CANRA and mandated reporter requirements confidentiality of mandated reporters; procedures for cross reporting and contacting CWS; and the impact of trauma on children served by CWS.

2. CWS staff was oriented to a family team meeting model that aligns with the Humboldt County Practice Model.

The Humboldt Practice Model is “a set of values, practices and tools to guide staff in engaging children, youth, families, tribal communities and extended networks in a way that is responsive to culture and trauma. It was developed collaboratively by agency staff, representatives from the local tribal community, and other community partners as a best practice.” CWS states that the Humboldt Practice Model also aligns with the California’s Core Practice Model.

Family team meetings, held at key decision points throughout the processing of a family or youth’s case, are seen as a way for CWS, other formal child, and family supporters to work with the child and family and their informal supports to create and execute plans to meet the family’s goals. NCCD provided refresher-training sessions to CWS staff on Child and Family Team meetings in February and March 2018.

3. *NCCD continued training, leadership coaching, and technical assistance.*

The Judgment required that CWS enter into a two-year contract with NCCD effective June 30, 2017, to provide training and technical assistance related to assessment and use of NCCD's Structured Decision Making (SDM®) tools and overall practice. This is a continuation of technical assistance that has been provided to CWS by NCCD since April 16, 2015. During this monitoring period, in addition to providing training and coaching for hotline staff, NCCD provided coaching to CWS leadership in the Humboldt Practice Model (described above), Safety Organized Practice, and facilitating effective cross-cultural communication.¹⁹

On February 27, 2018, CWS amended its existing two-year contract with NCCD to a three-year period, as agreed to in the Judgment, during which NCCD will:²⁰

- *Assist CWS with revisions of policies and procedures;*
During this monitoring period, NCCD provided consultation on draft policies to ensure compliance with state requirements before CWS distributed policies to staff. NCCD expects to further review policies and procedures during the next monitoring period.
- *Provide additional training and coaching in SDM® implementation and Safety Organized Practice, including review of procedures for screening reports relating to sexual abuse allegations, to ensure that the SDM® screening tools are being used appropriately across all referrals;*
NCCD has provided classroom training, coaching to staff, and reviewed policy and procedure to ensure SDM® implementation and Safety Organized Practice.
- *Perform business process mapping to understand how cases of maltreatment are handled across the course of a case and what happens at each decision point in order to identify roadblocks, inefficiencies, and needs to enable fidelity to best practice;*
During this monitoring period NCCD, concluded this multi-year work with staff from investigations and ongoing services to map decision-making following an investigation and to understand how the SDM® Initial Risk Assessment applies during this time.
- *Assist with the development of a Mandated Reporter Guide, as detailed in Section KK(1) of the Judgment;*
NCCD began to prepare for the work in collaboration with a subcommittee of the Community Task Force to develop a web-based Mandated Reporter Guide. The work is

¹⁹ Safety Organized Practice is a California-wide model for reducing foster care entry, increasing relative placement and placement stability; decreasing group home care; time to permanency for children in foster care, recurrence of maltreatment and re-entry to foster care; http://www.childsworld.ca.gov/res/TitleIV-E/SOP_CPM_Elements.pdf

²⁰ Italicized text indicates work not started during this monitoring period.

projected to occur between September 2018 and April 2019, with the Guide being completed and available online in the summer of 2019.

- *Help bolster continuous quality improvement processes, leveraging data resources, and analytic support to improve agency practices;*
Some activities have taken place but NCCD and CWS are in the very early stages of this work.
- *Perform a Workload Study in order to estimate the resources and number of staff members needed to perform the necessary functions of the child welfare agency in compliance with laws, rules, and policies applicable to Humboldt County;*
CWS expected to begin preparing for a workload study January 2019 but revised the implementation date to March 2019.
- *Help integrate tribal needs into system improvement, including building on the culturally responsive services training to identify and implement changes to practice that integrate tribal needs and perspectives into the CWS system to ensure that interactions and work with tribes is culturally responsive;*
- *Create and implement of plan to address outstanding, backlogged investigations to ensure that all referrals are investigated;*
- *Within 60 days of the amendment of the contract, create a plan to triage outstanding investigations, which may include the hiring of temporary employees;*
CWS discussed and shared strategies with staff for maximizing productivity when entering documentation and balancing staying current with investigations while “getting caught up”. Qualified staff from all levels and from across the agency worked together to review and close investigations open for more than 40 days. Program Managers, Deputy Directors, and the Director receive a weekly report on open investigations.
- *Create a time management plan that ensures new investigations are completed in a timely manner.*
CWS discussed and shared strategies with staff for staying current with investigation completion and documentation and maximizing productivity when entering documentation.

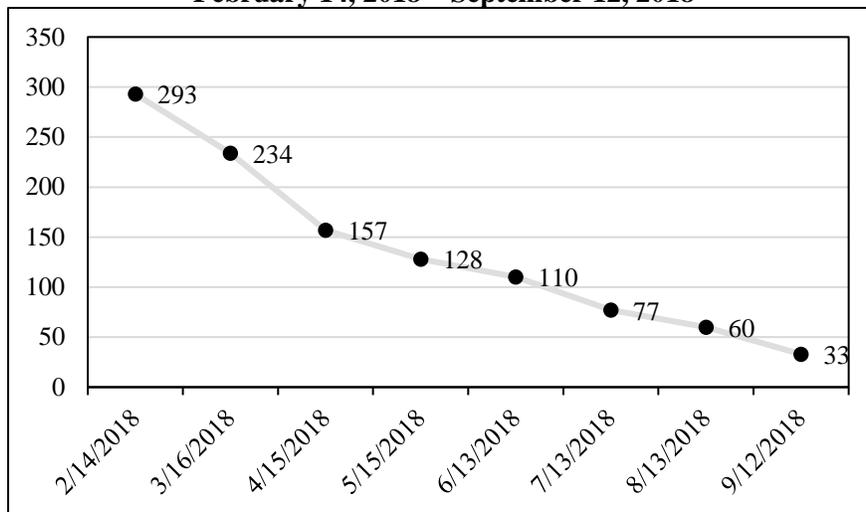
4. CWS succeeded at reducing the backlog of child abuse and neglect investigations that existed prior to the entry of the Judgment.

At the time of entry of the Judgment, CWS had a substantial backlog of 293 investigations, defined as investigations not completed within 40 days of receipt of the report. The Judgment included specific commitments and timelines to reduce the number of investigations overdue for closure

during the subsequent six months. CWS agreed to complete at least 30 percent of these outstanding investigations each quarter, and close or finalize all of the outstanding investigations within one year of the entry of Judgment.

CWS exceeded the goal of completing 30 percent of the 293 backlogged investigations each quarter. If the momentum continues, CWS is on target to close all 293 investigations within a year. By May 15, 2018, CWS reduced the backlog of investigations by 44 percent to 128 investigations and by August 13, 2018 to 60 investigations, a reduction of 47 percent for the 2nd quarter, as Figure 3 depicts.

Figure 3
Reduction of 293 Investigations in Backlog on 2/14/18
February 14, 2018 – September 12, 2018



Source: Humboldt County CWS

The backlog reduction plan created with help from NCCD, included assigning social workers and supervisors from other programs to perform intake tasks and creating both unit and worker level plans to achieve goals. There was a plan for further discussion about how to support work in the eastern part of the county give barriers created by distance.

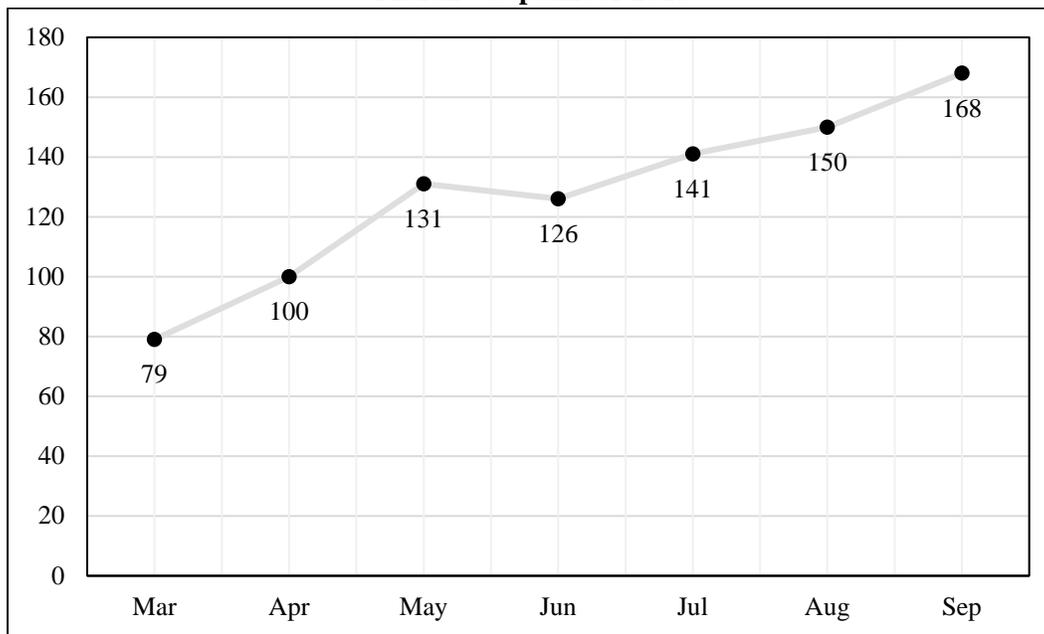
For new investigations, CWS agreed to improve its completion rate every quarter and achieve compliance with the statutory investigation completion requirement within one year of the entry of Judgment. As is discussed below, although significant progress has been made on the backlog that existed at the time of the Judgment, a backlog of new investigations has been developing.

- *The backlog of CWS investigations since February 15, 2018 is increasing.*

While CWS has steadily reduced the number of investigations that were in backlog status on the date of the Judgment, a new backlog of investigations has been created. Despite a goal of working with NCCD to implement systems and practices to make sure the backlog did not reoccur and that

within a year of the Judgment, CWS had the ability to respond to and complete all investigations within mandated timeframes, a new backlog is growing. Figure 4 below includes data provided by CWS, which reflect a backlog of investigations on the last day of each month, March to August 2018 and as of September 12, 2018. In August 2018, DHHS received approval from the County's Board of Supervisors to add 29 investigating social worker positions in part to deal with the workload needed to insure timely investigations.

Figure 4
New Backlog of Investigations
March – September 2018



Source: Humboldt County CWS

D. Implementing a New Emergency Response System

As required in the Judgment, CWS implemented a 24-hour system for directly responding to reports alleging child abuse and/or neglect on March 16, 2018. This new system required an investment of resources and adaptations on multiple levels. The response from community members who have contacted CWS since the system has been in place is positive. A current consideration and one for the NCCD Workload Study is whether the staffing plan in place for after-hours coverage is sufficiently resourced and sustainable.

1. *Dedicated toll free and local telephone numbers allow callers to connect directly with social workers who screen reports alleging child abuse and/or neglect.*

A report to CWS intake may be made by telephone, fax, or online. From 8:00 A.M. to 7:00 P.M., there are six dedicated CWS social workers and one supervisor(s) assigned to screen and respond immediately to reports of alleged abuse and neglect of a child in Humboldt County.²¹ Outside of those hours, on-call shifts, CWS assigns two social workers and one supervisor to these tasks and reports implementing a staffing system to maintain this service to the community.²² Each month, a CWS social worker may take responsibility for an on-call shift and earn points for each shift. When a shift remains uncovered, the expectation is that those with the lowest number of points will be assigned to work during that shift. CWS requires that social workers maintain a minimum level of points each month in this system. When staff who agree to an on-call shift are not able to work, other staff, supervisors, managers and the CWS Director have taken on the after-hours role to assure that a reporter is always able to reach social work screener directly.

2. *CWS fully transitioned to an electronic data entry and cross-reporting system for intake.*

Beginning June 4, 2018 all social work screeners enter information collected during a report into the CWS electronic case management system (CMS). This includes entering information in into WebSDM®, a set of web-based Structured Decision Making assessment tools used to assist social work screeners in deciding how to respond to a report. The electronic system at intake also allows social worker screeners to make real-time, electronic reports to law enforcement agencies. Whenever a social worker refers a report in the electronic system to a law enforcement agency, the system also sends an automatic notification to the District Attorney's Office.

CWS reports receiving 1,694 reports of abuse and/or neglect from February 15 to August 31 2018. Almost two-thirds, 59 percent (999 of 1,694) of those reports were evaluated out by the social worker screener and the remaining 41 percent (695 of 1,694) were assigned to an investigator for an in-person response. Two part-time, "extra-help" social workers screeners assisted the six social worker screeners assigned to handle calls during this monitoring period.

CWS reports sending 1,046 reports to local law enforcement from February 15 and August 31, 2018.²³ CWS sent half of the reports to HCSO (521) followed by Eureka, Arcata, Fortuna, and Rio Dell Police Departments.

²¹ From 8:00 A.M. to 5:00 P.M., a second supervisor is available to serve as help.

²² One social worker assumes primary responsibility for incoming calls and the other for responding to investigations requiring an immediate response.

²³ CWS and HCSO have agreed that CWS will forward all reports of Abuse to HCSO.

When a CWS social worker screener makes a cross-report to law enforcement, the date, time, and manner of the cross-report are captured in CMS. The CWS CANRA Coordinator and Emergency Response Program Manager reviews all cross reports on a weekly basis to ensure timeliness.

3. CWS staff forwarded reports that fell outside of Humboldt County to the appropriate jurisdiction or agency.

CWS reports that staff has received training and guidance to accept all reports, including those that fall outside its jurisdiction. Data from CWS show that all of the seven out-of-jurisdiction reports received from June 14 to August 31, 2018, were forwarded by phone to the correct jurisdiction or agency by CWS staff.

4. HCSO developed an interim electronic/manual cross-reporting tracking system.

While awaiting implementation of a new Records Management System, expected in September 2018, HCSO created a hybrid; electronic/manual system to track referrals from CWS for assignment and responses by deputies to ensure CWS is contacted as needed. HCSO expects that the new Records Management System will create an electronic tracking system. HCSO tracking shows 521 reports from CWS during February 15 to August 31, 2018. During this monitoring period, HCSO made 35 referrals to CWS. HCSO also reports forwarding 19 reports to other law enforcement agencies from February 15 through August 31, 2018.

E. Revision of Policies and Procedures

Part of the improvement and development of an intake or emergency response system includes updating policy and procedures. There was a need for both CWS and HCSO to update policies to reflect state law and policy issuances on how to handle reports of abuse and/or neglect (CWS) and how to respond to situations involving children (HCSO). CWS has circulated drafts of all policies required by the Judgment, except the Investigations policy and procedures to all staff. CWS is in the process of finalizing policies with initial input from tribes. HCSO updated and circulated all relevant policies to staff.

1. CWS updated policies and procedures to clarify intake functions.

CWS circulated updated drafts of Mandated Reporter and Intake policies and procedures to staff to reinforce ensuring the confidentiality of the reporter and the agency's agreement to accept all calls, including those of reports outside of its jurisdiction. CWS also circulated updated policy on Cross Reporting to law enforcement and the District Attorney.

2. CWS policy clarified decision-making at intake, whether or not to assign a report for an in-person response.

A CWS social worker screener uses SDM® tools to decide whether to assign a report for investigation, an in-response, and if so whether the response should be immediate or up to within 24 hours. In evaluating risk of harm to a child who is the subject of a report, the screener may collect additional information from collateral contacts to help in decision-making, as described in Welfare & Institutions Code section 16504, as well as review historical records to inform whether an investigator should be assigned. Table 1 below shows the factors to be considered at CWS Intake when determining a response to a report of alleged child abuse or neglect.

CWS’ Policy and Procedure on Intake, circulated to staff on June 26, 2018, spells out procedures adhering to Welfare & Institutions Code section 16504, allowing the social worker screener to gather information from a range of sources, or collateral contacts, to determine whether to refer a report to an investigator for an in-person response. According to the Code, collateral contacts, persons who may have information to consider in that decision-making may include (but are not limited to) school personnel, law enforcement, tribal representatives, medical personnel, and other community members. Such collaterals may provide information to help determine next steps with a family.

**Table 1
Factors Considered at CWS Intake in Determining a Response to a Report***

In-Person Response Immediate (up to 24 hours) or up to 10 days**	No In-Person Response (may refer to a community agency)
Consider, but do not limit to:	Consider, but do not limit to:
The ability to locate the child alleged to be abused and/or the family.	The ability to locate the child alleged to be abused and/or the family.
The allegation meets one or more of the definitions of child abuse, exploitation or neglect contained in Sections 31-002(c)(7), 31-002(e)(9), or 31-002(n)(1).	The existence of an open case and the problem described in the allegation is being adequately addressed.
The alleged perpetrator is a caretaker of the child or the caretaker was negligent in allowing, or unable or unwilling to prevent, the alleged perpetrator access to the child.	There is additional information from collateral contacts or records review which invalidates the reported allegation.
The allegation includes specific acts and/or behavioral indicators which are suggestive of abuse, neglect, or exploitation.	There are previously investigated unsubstantiated or unfounded reports from the same reporter with no new allegations or risk factors.

Source: 31-105.115 CA DSS Regs Decision Criteria

*The SDM® hotline screening tool guides the screening social worker through considering these factors.

**Screening social worker or reviewing supervisor may determine that a social worker must respond within 3 or 5 days.

3. CWS drafted and updated nine policies following the Judgment.

CWS drafted or updated nine policies to address corrective actions required by the Judgment and to serve as a foundation in reforming systems and practices in intake and investigations to align with state law, policies, and best practices. Table 2 provides information about each policy.

**Table 2
CWS Revised Policies and Procedures
February 15 - August 31, 2018**

Circulated to CWS staff 3/16/18	
Mental Health Screening Tool and Request for Access to Services - Addresses coordination of mental health and child welfare services, sharing confidential information between child welfare and children’s mental health divisions and includes revised processes to ensure timely assessments of children in protective custody.	Communication with Children’s Mental Health - Addresses sharing confidential information between the child welfare and children’s mental health divisions.
Circulated to CWS Staff 4/13/18	
CWS 10-75 Complaint Resolution and Grievance Review – Describes the scope and limitations of the CWS Office of the Ombudsperson, process for addressing complaints about CWS policy, procedure, and practice, and the grievance review process.	
Circulated to CWS staff 6/26/18	
CWS 18-02 Emergency Response Title: Cross Reporting - Addresses requirements to notify law enforcement and tribes of reports to CWS as well as the role of the CANRA coordinator.	CWS 18-03 Intake - Relates to screening reports of suspected abuse or neglect, including taking all reports, cross reporting to law enforcement, inquiring about a child’s enrollment or eligibility for enrollment in a tribe and contacting tribal representatives as legally required.
CWS 18-04 Mandated Reporter Collaboration - Defines expectations of how screening and investigating social workers must interact with mandated reporters.	CWS 18-05 Social Worker Training - Outlines training requirements and content, to include CANRA, WIC and tribal collaboration.
CWS 09-09 Reports on Open Investigations or Cases - Clarifies that CWS intake will respond to allegations of abuse and/or neglect of a child already receiving in a CWS case or investigation.	CWS Child & Family Team Meetings - Describes CWS’ commitment to using a strength-based, family focused process for reaching shared understanding and consensus on decisions related to custody, placement, reunification, and permanency and identifies decision-making points for Child and Family Team Meetings. Participants, representing the family’s formal and informal supports Meeting participants are to form a network, sharing responsibility with CWS for ensuring safety for children and youth and helping to promote well-being and permanency for families as they transition from involvement with CWS.
Policy and Procedure on Tribal Collaboration and CWS Investigations to be circulated to staff by 12/31/18.	

Source: Humboldt County CWS

4. HCSO moved quickly to meet the policy, procedure, and training requirements of the Judgment and designate a CANRA Coordinator.

In addition to policies on Child Abuse and Child Safety, which were relevant to the MOU, HCSO circulated the following policies with administrative, patrol and nonsworn Sheriffs on March 14, 2018:

- **Domestic Violence** Policy 320 outlines responding to domestic violence situations where a child(ren) is present or involved and addresses reporting to CWS, interviewing child witness, establishing the location of all children of the household, and coordinating to provide a placement for the child.
- **Field Training Officer** Policy 436 describes the program to prepare new deputies for patrol assignment and is pertinent to this Judgment. HCSO updated and shared this policy with staff. Field Training Officers (FTO) supervise, train, and evaluate entry level and lateral sheriff's deputies' skills and knowledge.²⁴ They complete a (40-hour) Field Training Officer's Course and must participate in annual training thereafter. They ensure that each trainee receives the formal child abuse training, described above, and that each new trainee is knowledgeable of the subject matter as outline in the Field Training Manual: policies, procedures, rules, and regulations adopted by the Humboldt County Sheriff's Office.

F. Complaint System

A functioning feedback system is essential for a system to be responsive to the needs of the community and service recipients and to gather data to identify and address individual and systemic issues. The Judgment required that CWS create a complaint procedure that can be easily understood by and publicized to the community. This procedure must include the timeframe for handling complaints submitted formally and informally, written and orally. CWS was also required to create a policy and designate a supervisor who is responsible for ensuring that all complaints are investigated.

1. CWS created an Ombudsperson's Office and began to take action on complaints.

On April 13, 2018, CWS opened an Office of the Ombudsperson to receive complaints in-person, by phone, fax, mail or electronic mail.²⁵ ²⁶ Information about the CWS Office of the Ombudsperson is on the County's website. There is an overview of the policy, definition, purpose, and function, and limitations of the Ombudsmen Office; information about what to do before filing a concern or complaint; tips on how to prepare a complaint for problem resolution; and information on other CWS contacts on the site.

²⁴ The Humboldt County Sheriff Office's Field Training Officer Program policy 436.2, defines FTO as an experienced deputy trained in the art of supervising, training, and evaluating entry level and lateral sheriff's deputies in the application of their previously acquired knowledge and skills.

²⁵ <https://humboldt.gov.org/2360/CWS-Office-of-the-Ombudsperson>

²⁶ CWS reports receiving 50/76% reports by phone; 10/15% by electronic email; 4/6% in writing; and 2/3% in person.

A CWS Program Manager oversees the Office of the Ombudsperson and a supervisor handles complaints. CWS procedures are to respond to each complainant within two business days and send an acknowledgement letter by mail or email within five business days of speaking with or corresponding with the complainant.²⁷ CWS also tracks each complaint with the goal of resolution within more than 55 days business days. The Office sends an outcome letter via mail or email in each case, as applicable and prepares quarterly reports to staff, management, and DHHS.

Data provided to CSSP by CWS indicate that the Ombudsperson's Office began 66 investigations in response to complaints received from April 13 to August 31, 2018. A majority (35 of 66, 54%) of the complaints were from CWS clients. Fifteen percent (10) of the complaints were from another public agency personnel and twelve percent (8 of 66) were from a relative of a client of CWS. The Office reports an average of 13 pending inquiries of complaints at the end of each month, May to August 2018.²⁸

CWS reports that themes from complaints related to this Judgment are that Child and Family Team meetings are not consistently occurring at key decision points and that staff are not consistently following Structured Decision Making policy. The Office of the Ombudsperson reports actions taken included ensuring that child and family team meetings were being offered in individual cases and continuing to provide supervision and coaching to staff on the use of SDM® tools.

2. HCSO revised complaint policy and tracked CANRA complaints.

HCSO updated policy on Personnel Complaints (now Policy 920) to reflect that formal and informal complaints that relate to child abuse or neglect will be categorized as CANRA and a log of complaints will be maintained. The CANRA Coordinator handles and tracks policy or procedural complaints related to CANRA. The CANRA Coordinator also reviews the log of personnel complaints, to see whether any are related to CANRA and require tracking. HCSO states that during this monitoring period there were no complaints to HCSO related to CANRA. Complaint forms are available to the public online and at the Sheriff's Office.

²⁷ The Office of the Ombudsperson also accepts anonymous reports.

²⁸ There were 3 pending inquiries at the end of April 2018.

V. Summary of Performance of Corrective Actions: February 14, 2018 - August 31, 2018
THE PEOPLE OF THE STATE OF CALIFORNIA v HUMBOLDT COUNTY'S DEPARTMENT OF HEALTH AND HUMAN SERVICES AND HUMBOLDT COUNTY SHERIFF'S OFFICE

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p><u>Memorandum of Understanding ("MOU") and Inter-Agency Coordination</u></p> <p>A. (1) Child Welfare Services (CWS) shall revise its policies and procedures to reflect the procedures set forth in the MOU and circulate the MOU and revised policies and procedures to all personnel.</p> <p>(2) The Sheriff's Office (HCSO) shall revise its policies and procedures to reflect the procedures set forth in the MOU and circulate the MOU and revised policies and procedures to all personnel.</p>	<p>June 14, 2018, extended to August 14, 2018 by the Office of the Attorney General per formal written request made by CWS</p> <p>March 16, 2018</p>	<p>A. (1) CWS Partially Completed</p> <p>CWS circulated policy on cross reporting on 5/9/18</p> <p>CWS expects to finalize Intake policy by 10/12/18</p> <p>CWS circulated MOU to staff 2/15/18</p> <p>A. (2) HCSO Completed 3/14/18</p> <p>Policies and procedures and MOU circulated to staff 3/14/2018</p>
<p><u>Child Abuse Services Team (CAST) Protocol and Collaborative Processes</u></p> <p>B. Defendants shall continue to participate in the Humboldt County CAST Advisory Board and Protocol Subcommittee as long as they are invited by the Humboldt County District Attorney.</p>	<p>Ongoing</p>	<p>B. Completed 2/14/18 – 8/31/18</p> <p>CWS and HCSO continue to be invited to and participate in the Humboldt County</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>tribal representatives, pursuant to Welfare & Institutions Code sections 5328 and 5328.04. Within 30 days of the entry of Judgment,) CWS shall provide the Attorney General's Office with documents relating to this section for review and input.</p>		
<p><u>Implementation of New Emergency Response System and Revision of Policies and Procedures by Defendant CWS</u></p> <p>D. Within 120 days of the entry of this Judgment, CWS shall incorporate the requirements set forth below into its policies and procedures and circulate to all personnel.</p> <p>E. CWS shall ensure compliance with CANRA, including the confidentiality requirements set forth under Penal Code section 11167, and CANRA's implementing regulations set forth in California Code of Regulations, Title 11, division 1, chapter 9 (11 C.C.R. § 900 et seq.), including regulations relating to investigations of suspected child abuse in out-of-home care facilities, and the Welfare & Institutions Code and Division 31 regulations.</p> <p>F. CWS shall implement an emergency response system available 24 hours a day, seven days a week, under which social worker screeners will handle incoming calls as they come in to ensure prompt response. CWS shall, within 30 days of the entry of this Judgment, complete its implementation of an automated call tree system that connects callers who report suspected child abuse or neglect directly to screeners.</p>	<p>June 14, 2018, extended to August 24, 2018 by the Office of the Attorney General per formal written request made by CWS</p> <p>June 14, 2018, extended to August 24, 2018</p> <p>March 16, 2018</p>	<p>D. Completed 6/26/18</p> <p>CWS updated an circulated polices on 6/26/18</p> <p>E. Completed 6/26/18</p> <p>CWS' developed Policy and Procedure on Mandated Reporter and circulated to staff on 6/26/18</p> <p>CWS' developed Policy and Procedure on Reports on Open Investigations or Cases and circulated to staff on 6/26/18</p> <p>F. Completed 3/16/18</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>G. CWS shall transition from a paper-based intake system to an electronic intake system that is not reliant on data entry staff, under which social worker screeners directly input information into Child Welfare Services/Case Management System (CMS) (or any future successor system) and the WebSDM assessment tool.</p>	<p>June 14, 2018</p>	<p>G. Completed 6/4/18</p> <p>CWS has fully transitioned to an electronic data entry system for intake. Social Worker screeners enter information, including on the WebSDM® assessment tool in CMS.</p>
<p>H. CWS shall ensure timely cross-reporting to law enforcement agencies and the District Attorney's ("DA") office.</p>	<p>June 14, 2018</p>	<p>H. Completed 6/4/18</p> <p>Cross reporting during business hours as of 3/29/18.</p>
<p>(1) Upon receipt of a report that is required to be cross-reported under Penal Code section 11166, subdivision (j), a social worker shall immediately or as soon as practicably possible cross-report by telephone to the Sheriff's Office or other appropriate law enforcement agency and make a follow up written report as required by CANRA.</p>	<p>June 14, 2018</p>	<p>H. (1) Completed 6/4/18</p> <p>CWS implemented a system for immediate electronic cross reporting of reports of abuse and/or severe neglect to the DA's Office, Sheriff's Office and other law enforcement agencies.</p>
<p>(2) CWS shall make cross-reports to the DA's office in accordance with Penal Code section 11166, subdivision (j).</p>	<p>June 14, 2018</p>	<p>H. (2) Completed 6/4/18</p> <p>CWS' electronic cross reporting system automatically sends a copy of cross reports to law enforcement to the Humboldt County DA's Office.</p>
<p>(3) The social worker shall document in CMS (or any future successor system) the date, time, and manner of the cross-report, as well as any follow up information relating to the receiving agency's response.</p>	<p>June 14, 2018</p>	<p>H. (3) Completed 6/4/18</p> <p>CWS' electronic cross reporting system automatically sends a copy of cross reports to law enforcement to the Humboldt County DA's Office.</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
(4) On a weekly basis, a supervisor shall review all reports to ensure that timely cross-reporting has been completed.	June 14, 2018	H. (4) Completed 4/23/18 A CWS Program Manager reviews all cross reports for timeliness.
(5) For reports that are assigned for investigation and a joint response with the Sheriff's Office is necessary, the assigned social worker shall contact the Sheriff's Office immediately if it involves an emergency or 24-hour response, and within 36 hours if it involves a 10-day response.	June 14, 2018	H. (5) Completed 6/4/18 CWS' CMS system captures data on the investigator's contact with the Sheriff's Office.
I. CWS may not refuse to accept reports from any person, whether or not that person is a mandated or non-mandated reporter, including reports that fall outside its geographical jurisdiction.	June 14, 2018	I. Completed 3/29/18 CWS reports not refusing to handle reports, including those which fall outside its geographical jurisdiction.
(1) For reports that fall outside CWS's geographical jurisdiction, CWS shall:		
a. Immediately electronically transfer the call to the appropriate agency; or	June 14, 2018	I. (1) a.-b. Completed 3/29/18
b. If CWS takes the report and cannot immediately transfer the call, it shall immediately send the report via telephone, fax, or electronic transmission to the appropriate agency, with an immediate follow up call to the agency to ensure that the report is received.	June 14, 2018	As of 3/29/18, CWS has transferred calls to appropriate agencies or sent reports by phone, fax, or electronic transmission to the appropriate agency.
(2) For cross-reports that come from the Sheriff's Office or any agency that falls outside CWS's geographical jurisdiction, CWS shall:		

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>a. Immediately transfer the report via telephone, fax, or electronic transmission to the appropriate agency, with an immediate follow up call to the agency to ensure that the report is received; and</p> <p>b. Immediately call the reporting agency to inform it that the report is outside the jurisdiction of CWS and to which agency it has transferred the report.</p> <p>J. CWS shall revise its policies and procedures to incorporate the following and circulate copies of the following DSS All-County Letters to all employees.</p> <p>(1) All-County Letter No. 05-09, dated April 26, 2005, regarding Reporting and Investigation Requirements for Child Abuse Allegations Regarding Children in Out-Of-Home Placements, available at http://www.cclss.ca.gov/lettersnotices/entres/getinfo/ac105/pclf/05-09.pdf;</p> <p>(2) All-County Letter No. 17-27, dated May 10, 2017, regarding Investigating, Assessing, and Documenting a New Referral of Child Abuse or Neglect in an Open Investigation or Case, available at http://www.cdss.ca.gov/Portals/9/ACL/2017/17-27.pdf;</p> <p>(3) CANRA's implementing regulations relating to investigations of suspected child abuse in out-of-home care facilities set forth under California Code of Regulations, Title II, division 1, chapter 9, article 3 (11 C.C.R. § 930 et seq.).</p> <p>K. As set forth in Welfare & Institutions Code section 16504, CWS shall conduct a thorough evaluation of the risk to any child who is the subject of a referral. The</p>	<p align="center">June 14, 2018</p> <p align="center">June 14, 2018</p> <p align="center">June 14, 2018</p> <p align="center">June 14, 2018</p>	<p>I. (2) a.-b. Completed 3/29/18</p> <p>CWS reports immediate transfer of out of jurisdiction reports and calling reporting agency to inform of actions</p> <p>J. (1) Completed 6/26/18</p> <p>CWS 09-09 Reports on Open Investigations or Cases was circulated to staff on 6/26/18.</p> <p>J. (2) Completed 6/26/18</p> <p>CWS 09-09 Emergency Response. Title: Reports on Open Investigations or Cases was circulated to staff on 6/26/18.</p> <p>J. (3) Completed 6/26/18</p> <p>CWS 09-09 Emergency Response. Title: Reports on Open Investigations or Cases was circulated to staff on 6/26/18.</p> <p>K. Partially Completed</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>evaluation of risk shall include information gathered from all collateral contacts who may have relevant information related to the referral. Collateral contacts may include (but are not limited to) school personnel, law enforcement, tribal representatives, medical personnel, and other community members. When necessary to complete the evaluation of risk to the child, the investigating social worker will contact the reporting party (whether mandated or not) for further information. Consistent with Division 31 regulations, section 31-105 .1.11.114, CWS screeners and investigators shall record detailed information (as available) regarding any contact with collateral contracts, which may include the (1) date of contact; (2) name and phone number of each person contacted; (3) agency affiliation or person's relationship to the child; (4) contacts with tribe(s), extended family, Indian organizations, other Indian service providers; and (5) summary of information obtained. The use of all collateral contacts and other available resources should also be used to obtain information related to the location of children and families who are the subject of referrals, consistent with DSS All County Information Notice No. I-52-14, available at http://www.cdss.ca.gov/lettersnotices/EntRes/getinfo/a/cin/2014/I-52_14.pdf.</p> <p>L. To the extent permitted pursuant to Welfare and Institutions Code section 827, CWS shall create a policy that investigating social workers respond back (in writing or via telephone) to mandated reporters by the end of an investigation of a referral regarding the status of the referral. If the communication is made via</p>	<p>June 14, 2018</p>	<p>CWS developed Intake policy and procedures and circulated to staff on 6/26/18.</p> <p>CWS expects to circulate Investigations policy and procedures by 12/14/18.</p> <p>L. Completed 6/26/18</p> <p>CWS circulated Mandated Reporter policy and procedures; informing mandated reporters of the status of a referral will also</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>telephone, the social worker shall document the time and date of the communication.</p> <p>M. In consultation with the parties' agreed-upon expert consultant, National Council on Crime and Delinquency-Children's Research Center ("NCCD"), CWS shall select and implement a family meeting model that uses a strength-based approach to engage families, formal and informal supports, communities, and tribes in a family-led planning process over the life of the case at key decision points. The model shall include a combination of family meeting types that encompass the core elements outlined in best practices, such as pre-meeting coordination and preparation, consensus-based decision making, and family team involvement in creating case plans and follow up activities.</p>		<p>be addressed in the Investigations policy expected to be circulated by 12/14/18.</p> <p>M. Completed June 26, 2018</p> <p>CWS uses Child and Family Teams meetings in work with families. NCCD provided refresher training sessions on Child and Family Teams meetings and updated Policy and Procedure was created and distributed to staff on 6/26/18.</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p><u>Tribal Collaboration</u> N. CWS shall revise its policies and procedures to ensure collaboration with and input relating to decision-making from tribes.</p> <p>(1) Upon receipt of a referral that involves a child who is a member of or eligible for membership in a tribe, the social worker screener shall send the referral to the appropriate tribe within 24 hours in order to seek input from the tribe, unless an immediate or 24-hour response is needed, in which case the screener shall contact the tribe immediately or as soon as practicably possible.</p> <p>a. The screener shall document details of that contact in the screener narrative, including whether contact was made, input was sought, and the input from the tribe, if any, including the dates and times of such contact.</p> <p>(2) For the referrals that are assigned for investigation, CWS shall provide tribal representatives sufficient notice to allow such representatives to accompany CWS social workers to investigations to ensure that such representatives are included in decision-making relating to those referrals.</p>	<p>June 14, 2018, extended to August 24, 1018 by the Office of the Attorney General per request made by CWS</p> <p>June 14, 2018, extended to August 24, 1018 by the Office of the Attorney General per request made by CWS</p> <p>June 14, 2018, extended to August 24, 1018 by the Office of the Attorney General per request made by CWS</p>	<p>N. Not completed</p> <p>CWS began consultation with tribes in late June 2018 on policies and procedures requiring tribal input and expects to (re) circulate policies and procedures by 12/31/18.</p> <p>N. (1), (1)a. Not Completed</p> <p>a. Intake policy and procedures to be updated with tribal input and redistributed to staff by 10/12/18.</p> <p>N. (2) Not completed</p> <p>Investigation policy and procedures expected to be updated with tribal input and redistributed to staff by 12/31/18.</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>R. The Sheriff's Office shall ensure compliance with CANRA, including the confidentiality requirements set forth under Penal Code section 11167, and implementing regulations set forth in California Code of Regulations, Title II, division 1, chapter 9 (11 C.C.R. §900 et seq.), including regulations relating to investigations of suspected child abuse in out-of-home care facilities.</p>	<p>March 16, 2018</p>	<p>R. Completed 3/14/18 Expectations were issued to staff in child abuse and child and adult dependent safety policies on” 1. Confidentiality requirements set forth under Penal Code section 11167, and 2. Implementing regulations set forth in California Code of Regulations, Title II, division 1, chapter 9 (11 C.C.R. §900 et seq.), including regulations relating to investigations of suspected child abuse in out-of-home care facilities.</p>
<p>S. The Sheriff's Office shall ensure timely cross-reporting to CWS and the DA's office.</p>	<p>March 16, 2018</p>	<p>S. Completed 3/14/18 Expectations were issued to staff in Child Abuse policy. The Sheriff's Office has provided training and implemented a weekly review process to ensure timely cross reporting.</p>
<p>T. Upon receipt of a report, a deputy (or designee) shall immediately or as soon as practicably possible cross-report by telephone to CWS and make a follow up written report to CWS as required by CANRA.</p>	<p>March 16, 2018</p>	<p>T. Completed 3/14/18 Expectations were issued to staff in Child Abuse policy: upon receipt of report, cross report by telephone and in writing.</p>
<p>U. The Sheriff's Office shall make cross-reports to the DA's office in accordance with Penal Code section 11166, subdivision (k).</p>	<p>March 16, 2018</p>	<p>U. Completed 3/14/18 Expectations were issued to staff in Child Abuse policy.</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>V. If there is a call for service unrelated to suspected or known child abuse or neglect, but the deputy becomes aware of such a situation during an investigation or otherwise, the deputy shall immediately or as soon as practicably possible call CWS to make a report and send a follow up written report to CWS. The deputy shall coordinate an investigative response with CWS to the extent appropriate.</p>	<p>March 16, 2018</p>	<p>V. Completed 3/14/18 HCSO reports to CWS as soon as aware of child abuse/neglect situation and follow-up in writing.</p>
<p>W. The Sheriff's Office shall revise its Domestic Violence policy to address situations in which a child (or children) is in the home, and the reporting to CWS thereof.</p>	<p>March 16, 2018</p>	<p>W. Completed HCSO updated DV policy to address child involvement and report to CWS.</p>
<p>X. The Sheriff's Office shall ensure that every single report and cross-report is promptly assigned a deputy, an investigation is conducted, and a case report is completed. All reports and cross-reports shall be assigned as a "call for service."</p>	<p>March 16, 2018</p>	<p>X. Completed 3/14/18 HCSO ensures that cross-reports are assigned for service.</p>
<p>(1) On a weekly basis, the Sheriff's Office's CANRA Coordinator shall review all "calls for service" relating to reports and cross-reports to ensure that the coordination with appropriate agencies has been made, deputies have been assigned, and investigations are underway.</p>		<p>X. (1) Completed 3/14/18 HCSO reports a weekly review of cross reports.</p>
<p>(2) An assigned deputy shall coordinate an investigative response with CWS immediately if it involves an emergency or 24-hour response. For all other responses, a deputy shall be assigned to</p>		<p>X. (2) Completed 3/14/18</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>investigate the allegations within 72 hours of receipt and report to CWS and/or other appropriate agencies that the Sheriff s Office is investigating within 36 hours after starting its investigation.</p> <p>Y. The Sheriff s Office may not refuse to accept reports from mandated reporters or other reporters, including reports that fall outside its geographical jurisdiction.</p> <p>(1) For reports that fall outside the Sheriff s Office's geographical jurisdiction, the Sheriff s Office shall: a. Immediately electronically transfer the call to the appropriate law enforcement agency; or</p> <p>b. If the Sheriff s Office takes the report and cannot immediately transfer the call, it shall immediately send the report via telephone, fax, or electronic transmission to the appropriate agency, with an immediate follow up call to the agency to ensure that the report is received.</p> <p>(2) For cross-reports that come from CWS that fall outside the Sheriff s Office's geographical jurisdiction, the Sheriff s Office shall: a. Immediately transfer the report via telephone, fax, or electronic transmission to the appropriate agency with an immediate follow up call to the agency to ensure that the report is received; and</p>	<p align="center">March 16, 2018</p> <p align="center">March 16, 2018</p> <p align="center">March 16, 2018</p> <p align="center">March 16, 2018</p>	<p>HCSO and CWS CANRA coordinators track referrals and cross reports to ensure joint work.</p> <p>Y. Completed 3/15/18</p> <p>HCSO reports not refusing to handle reports, even those which fall outside its geographical jurisdiction.</p> <p>Y. (1) a. Completed 3/15/18</p> <p>HCSO reports transferring of calls to appropriate agency.</p> <p>Y. (1) b. Completed 3/15/18</p> <p>If HCSO cannot transfer, report are sent to the appropriate agency.</p> <p>Y. (2) a. Completed 3/15/18</p> <p>HCSO handles cross-reports from CWS that are outside jurisdiction by transferring to appropriate agency and following-up with call to appropriate agency.</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>(2) Reports that fall outside the geographical jurisdiction of the Sheriff's Office shall be tracked electronically. The records of such reports shall include the date, time, method of transfer, and to which agency the report was transferred.</p>		<p>AA. (2) Completed Track handling of reports outside jurisdiction.</p>
<p><u>Contract between Defendant CWS and NCCD</u></p> <p>BB. CWS has entered into a two-year contract with NCCD effective June 30, 2017 to provide for training and technical assistance services relating to the following subject areas to address the issues in this matter:</p> <p>(1) Structured Decision Making ("SDM") System, Practice Improvement Activities, which includes, but is not limited to:</p> <ul style="list-style-type: none"> a. Group supervision training and modeling for staff; b. SDM training and on the floor coaching for all stages of services, beginning with hotline procedures; and c. Case reading training for supervisors and managers. <p>(2) Culturally Responsive Services, which includes, but is not limited to:</p> <ul style="list-style-type: none"> a. Leadership coaching in the Humboldt Practice Model and Safety Organized Practice, including individual coaching sessions and trainings; b. Teaching effective communication skills for use internally and in collaboration with partner agencies; 		<p>BB. (1) a.-d. Completed NCCD continues to provide training, technical assistance and coaching to CWS staff and management.</p> <p>BB. (2) a.-d. Completed NCCD continues to provide training, technical assistance and coaching to CWS staff and management.</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>c. Providing implementation consultation regarding pre-implementation, implementation, and sustainability planning activities of the Humboldt Practice Model; and</p> <p>d. Developing a common language that facilitates effective cross-cultural communication.</p> <p>CC. Within 30 days of the entry of Judgment, CWS shall amend the contract with NCCD to provide for the following additional services and amend the term of the contract from a two-year to three-year period. CWS shall provide the Attorney General's Office with a copy of the amended executed contract within five days of the date of the last signature.</p> <p>(1) Assistance with revision of policies and procedures.</p> <p>(2) Additional training and coaching in SDM implementation and safety-organized practice, including review of procedures for screening reports relating to sexual abuse allegations, to ensure that the SDM screening tools are being used appropriately across all referrals.</p> <p>(3) Workload Study in order to estimate the resources and number of staff members needed to perform the necessary functions of the child welfare agency in compliance with laws, rules, and policies applicable to Humboldt County.</p> <p>(4) Managing by Data assistance, including bolstering continuous quality improvement processes, leveraging data resources, and analytic support to improve agency practices.</p>	<p align="center">March 16, 2018</p>	<p align="center">CC. (1) – (7) Completed 2/27/18</p> <p>CWS amended its contract with NCCD to provide for additional services and amended the term of the contract from a two-year to three-year period. CSSP provided the provided the Attorney General's Office with a copy of CWS' amended executed contract with NCCD outside of the monitoring period.</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>initiated within 60 days of the amendment of the contract.</p> <p>c. CWS shall complete at least 30% of outstanding investigations every quarter. CWS shall close or finalize all of the outstanding investigations within one year of the entry of Judgment.</p> <p>d. For new investigations, CWS shall improve its investigation completion rate every quarter and achieve compliance with the statutory investigation completion requirement within one year of the entry of Judgment.</p>		<p>CC. (8) c. In process</p> <p>CWS has exceeded the goal of closing 30% of backlogged investigations each quarter, reducing the backlog from 293 in February 2018 to 60 on August 13, 2018.</p> <p>CC. (8) d. Not completed</p> <p>The backlog of investigation was 168 on September 12, 2018.</p>
<p><u>Training</u></p> <p>EE. In addition to the training provided by NCCD to Defendant CWS under the contract described in Sections BB and CC, training of CWS employees on subject matters (1) and (2) below has begun and is ongoing. Within 180 days of the entry of Judgment, CWS shall have completed mandatory training to all employees on the following subject matters:</p> <p>(1) The requirements of CANRA and the Welfare & Institutions Code, including the legal obligations of CWS and confidentiality requirements;</p> <p>(2) Procedures relating to documenting referral and case information into CMS, including detailed information relating to cross-reporting and contact with tribes; and</p>	<p align="center">August, 13, 2018</p>	<p>EE. (1) Completed 8/9/18</p> <p>EE. (2) Completed 8/9/19</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>a. The legal obligations of each Defendant, including what types of reports fall within the respective jurisdiction of each agency;</p> <p>b. Policies and processes implemented by Defendants to ensure compliance with CANRA and the Welfare & Institutions Code, and any other statutes relating to the investigation of reports of child abuse and neglect;</p> <p>c. The legal obligations of mandated reporters.</p> <p>d. A hard-copy version of the guide shall be made available.</p> <p>(2) Input on changes or revisions to policies and procedures relating to CANRA.</p> <p>(3) Discussion of barriers encountered by the community and agencies with respect to CANRA and recommendations to address such barriers.</p> <p>(4) Identification of available community-based resources within Humboldt County and processes to coordinate referrals to such resources as appropriate.</p> <p>LL. By the second quarterly meeting of the Task Force, the Task Force shall create a schedule with timeframes for completion of the above duties.</p>	<p>June 14, 2018 and ongoing</p> <p>June 14, 2018 and ongoing</p> <p>Target not yet set</p> <p>February 14, 2019</p>	<p>KK. (2) In process</p> <p>Sub-committee formed to review and provide input.</p> <p>KK. (3) In process</p> <p>Addressed through the Community Task Force and sub-committees.</p> <p>KK. (4) In process</p> <p>Mandated Reporter Guide sub-committee has shared several resource guides to be included in the guide.</p> <p>LL. In process</p> <p>The Task Force has produced a schedule with timeframes for completion of a web-based mandated reporter guide, providing input on changes or revisions to policies and procedures relating to CANRA,</p>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>MM. The Task Force shall provide the monitor, the Sheriff, and Director the schedule created pursuant to the above. Within 35 days of each meeting, the Sheriff and Director shall provide the monitor, the Attorney General's Office, and the clerk of the Humboldt County Board of Supervisors with the minutes from the meeting, as well as any documents, including the schedule created pursuant to Section LL.</p>		<p>discussing barriers encountered by the community and agencies with respect to CANRA and recommendations to address such barriers. The Task Force has not yet begun to identify available community-based resources within Humboldt County and processes to coordinate referrals to such resources.</p> <p>MM. Completed</p> <p>Minutes and documents have been sent to the monitor within the 35 timeframe for 2 of the 3 meetings held during MP1. Community Task Force Meetings can found on the Community Task Force website.³⁰</p>
<p><u>Compliance Monitor</u></p> <p>4. This Judgment shall be overseen by a qualified third-party compliance monitor who shall be provided access to information and documents to ensure compliance with the injunctive provisions of this Judgment. Defendants shall retain the monitor, subject to approval by the Attorney General's Office, at Defendants' expense. Within 15 days of the entry of Judgment, all parties shall meet and confer regarding the identity of the monitor and Defendants agree to give primary consideration to the Attorney General's Office's pre-approved monitor. At the sole direction of the Attorney General's Office, the</p>		<p>4. Completed</p> <p>All Parties met and conferred regarding the identity of the monitor and Defendants gave primary consideration to the Attorney General's Office's pre-approved monitor, the Center for the Study of Social Policy (CSSP).</p>

³⁰ <https://humboldt.gov/2373/Community-Task-Force>

Table 3: Summary of Performance of Corrective Actions Required By Judgment

Required Corrective Actions	Final Target	MP1 Performance 2/14/18 – 8/31/18
<p>monitor shall conduct a review and prepare a written report bi-annually following the date of the entry of this Judgment for a period of three years, unless time is extended pursuant to Section 9 below, in which case the monitor shall continue to provide bi-annual reports until this Judgment's enforcement period ends. The monitor's reports shall detail the monitor's findings and recommendations for corrective action, if any is required. The Attorney General's Office shall keep all written reports prepared pursuant to this paragraph confidential except as needed to enforce compliance with the Judgment or to support any other public enforcement action by the Attorney General's Office, or as otherwise required by law.</p>		

VI. Appendices

Glossary of Acronyms³¹

AG – (California Office of the) Attorney General

CANRA – Child Abuse and Neglect Reporting Act

CAST – Child Abuse Services Team

CPRG – Child Protection Reporting Guide

CSSP – Center for the Study of Social Policy

CMH – (Humboldt County Department of Health and Human Services’) Children’s Mental Health

CWS – (Humboldt County Department of Health and Human Services’) Child Welfare Services

DA – (Humboldt County) District Attorney

DHHS – (Humboldt County) Department of Health and Human Services

FTO – Field Training Officer

HCSO – Humboldt County Sheriff’s Office

MDT – Multi-disciplinary team

MOU – Memorandum of Understanding

MRG – Mandated Reporter Guide

NCCD – National Council on Crime and Delinquency

NICWA – National Indian Child Welfare Association

SDM® – Structured Decision Making

³¹ Humboldt County Glossary of Settlement Terms:
<https://humboldt.gov/DocumentCenter/View/64514/Glossary-of-Settlement-Terms>
The People of the State of CA v. Humboldt County DHHS and HCSO
Progress Report for the Period February 14 – August 31, 2018
Appendix I

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12
13

15 **THE PEOPLE OF THE STATE OF**
CALIFORNIA ex. rel. XAVIER
16 **BECERRA, ATTORNEY GENERAL OF**
THE STATE OF CALIFORNIA,
17
Plaintiff,
18
v.
19
HUMBOLDT COUNTY DEPARTMENT
OF HEALTH AND HUMAN SERVICES;
20 **CONNIE BECK, IN HER OFFICIAL**
CAPACITY AS DIRECTOR; HUMBOLDT
21 **COUNTY SHERIFF'S OFFICE; WILLIAM**
22 **HONSAL, IN HIS OFFICIAL CAPACITY AS**
23 **SHERIFF,**
24
Defendants.

Case No. **CV 180 143**
STIPULATION FOR ENTRY OF FINAL
JUDGMENT AND PERMANENT
INJUNCTION

1 Plaintiff, the People of the State of California (“People” or “Plaintiff”), by and through its
2 attorney, Xavier Becerra, Attorney General of the State of California (the “Attorney General”),
3 and by Deputy Attorney General Christine Chuang, and Defendants Humboldt County
4 Department of Health and Human Services—Child Welfare Services division, appearing through
5 its attorney Humboldt County Office of County Counsel (“County Counsel”), by Assistant
6 County Counsel Blair Angus, and Humboldt County Sheriff’s Office, appearing through its
7 attorney County Counsel, by Deputy County Counsel Natalie Duke, stipulate as follows:

8 1. This Court has jurisdiction of the subject matter hereof and the parties to this
9 Stipulation for Entry of Final Judgment and Permanent Injunction (“Stipulation”).

10 2. The Final Judgment (“Judgment”), a true and correct copy of which is attached
11 hereto as Exhibit 1, may be entered by any judge of the Humboldt County Superior Court.

12 3. The Attorney General may submit the Judgment to any judge of the superior court
13 for approval and signature, based on this Stipulation, during the Court’s ex parte calendar or on
14 any other ex parte basis, without notice to or any appearance by Defendants, which notice and
15 right to appear Defendants hereby waive.

16 4. Plaintiff and Defendants (collectively, the “Parties”) hereby waive their right to
17 move for a new trial or otherwise seek to set aside the Judgment through any collateral attack, and
18 further waive their right to appeal from the Judgment, except the Parties agree that this Court
19 shall retain jurisdiction for the purposes specified in Section 6 of the Judgment.

20 5. The Parties jointly represent that they have worked cooperatively to come to an
21 agreement. Defendants have affirmed their commitment to make meaningful changes to how
22 child abuse and neglect reports are handled in Humboldt County.

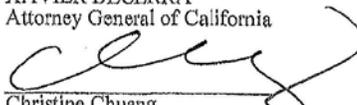
23 6. The Parties have stipulated and consented to the entry of the Judgment without the
24 taking of proof and without trial or adjudication of any fact or law herein, without the Judgment
25 constituting evidence of or an admission by Defendants regarding any issue of law or fact alleged
26 in the Complaint on file herein, and without Defendants admitting any liability regarding
27 allegations of violations that occurred prior to the entry of the Judgment.

28

1 THE STATE OF CALIFORNIA

XAVIER BECERRA
Attorney General of California

2
3
4 DATED: 2/9/18


Christine Chuang
Deputy Attorney General
Attorneys for Plaintiff

7 DEFENDANTS

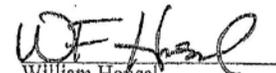
HUMBOLDT COUNTY DEPARTMENT
OF HEALTH AND HUMAN SERVICES

8
9
10 DATED: 2/9/18


Paul Sheppard Assistant Director, for
Connie Beck Director

HUMBOLDT COUNTY
SHERIFF'S OFFICE

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13
14 DATED: 2/8/2018

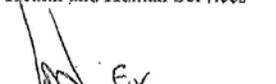

William Hofsal
Sheriff

HUMBOLDT COUNTY OFFICE OF
THE COUNTY COUNSEL

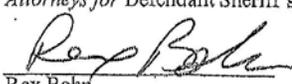
15
16
17
18 DATED: 2/9/2018


Blair Angus
Assistant County Counsel
*Attorneys for Defendant Department of
Health and Human Services*

19
20
21
22 DATED: 2/9/18


Natalie Duke
Deputy County Counsel
Attorneys for Defendant Sheriff's Office

23
24
25 DATED: 2/8/2018


Rex Bohn
Vice Chairperson
Humboldt County Board of Supervisors

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Stipulation for Entry of Final Judgment and Permanent Injunction

**HUMBOLDT COUNTY
MEMORANDUM OF UNDERSTANDING RE:
CROSS REPORTS PURSUANT TO CANRA**

1. Purpose and Parties

The purpose of the Memorandum of Understanding (MOU) between the Humboldt County Sheriff's Office (HCSO) and Humboldt County Department of Health and Human Services, Child Welfare Services (CWS) (the parties) is to establish an agreement regarding the various duties and responsibilities of the parties in the context of cross reporting incidences of suspected child abuse and neglect pursuant to the Child Abuse and Neglect Reporting Act (CANRA).

2. Legislation

California's Child Abuse and Neglect Reporting Act (CANRA) defines child abuse, establishes procedures to report and investigate child abuse, imposes an obligation on certain individuals to report child abuse and proscribes penalties for failing to comply with the law. [Penal Code §§ 11164 *et seq.*]

3. HCSO Responsibilities

a. General

- i. The CANRA Coordinator for HCSO is the Investigator or Detective assigned to supervise all HCSO investigations involving child abuse/neglect. The CANRA Coordinator will communicate with CWS and other agencies regarding cross reports and ensure that cross reports are made. The CANRA Coordinator will also review case files and ensure that the electronic database (described in section vi, below) is up to date.
- ii. All cross reports and supplemental reports from CWS to HCSO shall be sent via email to sheriff_cws@co.humboldt.ca.us and received by HCSO records personnel during daytime hours and HCSO dispatch personnel after hours and on weekends.
- iii. **A case number will be immediately assigned to all cross reports received by HCSO.**
- iv. HCSO personnel will monitor the designated email inbox at a minimum interval not exceeding three hours, including nights and weekends.
- v. HCSO will ensure that appropriate training is provided to all sworn personnel to allow deputies and detectives to recognize signs of child abuse and neglect, acquire skill in interviewing child victims and

witnesses; and how to cross report allegations of child abuse, neglect, and/or endangerment.

- vi. HCSO shall track all direct reports of suspected child abuse or neglect and all cross reports of suspected child abuse or neglect received on an electronic database which shall include the following information: (1) case number, (2) date/time cross report or direct referral received, (3) date cross report to CWS made (if applicable), (4) status of HCSO investigation, and (5) status of CWS investigation. HCSO shall provide CWS with the results of the law enforcement investigation upon its conclusion.

b. Cases Outside of HCSO Jurisdiction

- i. Upon receipt of a cross report, records personnel (or dispatch personnel if after hours) shall verify that the incident location is within HCSO jurisdiction. If the location is not within HCSO jurisdiction, HCSO will immediately transfer the report via telephone, fax or electronic transmission to the appropriate agency, with a follow up call to the agency to ensure that the report is received. HCSO will also immediately call CWS to inform CWS that the report is outside the jurisdiction of the Sheriff's Office and to which agency it has transferred the report.
- ii. Upon receipt of a report from a mandated reporter or other reporter where the incident falls outside the geographical jurisdiction of HCSO, HCSO shall either immediately electronically transfer the call to the appropriate law enforcement agency, or, take the report and immediately send the report via telephone, fax, or electronic transmission to the appropriate agency, and place a follow up call to the agency to ensure that the report is received.

c. Cases Identified by CWS as Requiring an Immediate/24 Hour Investigation

- i. All cases identified by CWS as requiring immediate or 24 hour investigation will be assigned to a deputy for immediate response.
- ii. The assigned deputy, detective, or investigator will coordinate the investigation with the CWS investigating social worker and will establish contact by phone and/or email.

d. Non-Emergency Response

- i. Upon receipt of the cross report, the designated HCSO Supervisor shall:

1. Review the cross report; and
 2. Evaluate the need to assign the case to a deputy or detective, assign the case to a deputy or detective as appropriate.
- ii. The assigned deputy or detective will coordinate the investigation with the CWS investigating social worker and will establish contact by phone and/or email; and
 - iii. Every cross report received by HCSO shall be assigned to a deputy, detective, or investigator to investigate the allegations within 72 hours of receipt and shall be treated as if it were a call for service.

e. HCSO Cross Reports to CWS

- i. If a mandated reporter or concerned citizen contacts law enforcement directly regarding actual or suspected child abuse or neglect, HCSO must telephonically report the allegations to CWS immediately, or as soon as practicably possible, and make a follow up written report as required by CANRA;
- ii. HCSO shall handle the report of actual or suspected child abuse as if it was received as a cross-referral from CWS;
- iii. HCSO shall cross report to CWS immediately, or as soon as practicably possible, any allegation involving suspected or actual child physical or sexual abuse or general/severe neglect situations involving a family member or caretaker or when a child needs to be taken into protective custody for any reason; and
- iv. HCSO shall report to CWS immediately, or as soon as practicably possible, all cases of child endangerment (e.g. driving under the influence with a child in a vehicle, domestic violence committed in the presence of a minor, possessing, selling or manufacturing narcotics while a child is present, shoplifting in the company of a minor, any other situation involving the physical arrest of the only adult caretaker of a child, or possessing weapons/narcotics in the presence of a child).

f. HCSO Cross Reports to the District Attorney's Office

- i. HCSO shall immediately, or as soon as practicably possible, cross report suspected or known instances of child abuse or neglect reported to HCSO, except acts or omissions coming within Penal Code section 11165.2, to the District Attorney's office pursuant to Penal Code section 11166(k).

HCSO shall send, fax, or electronically transmit a written report thereof within 36 hours of receiving the information concerning the incident.

4. CWS Responsibilities

a. General

- i. The CANRA Coordinator for CWS is the Emergency Response Program Manager. The CANRA Coordinator will communicate with HCSO and other agencies regarding cross reports and ensure that cross reports are made.
- ii. A case number is immediately assigned to all reports received by CWS. CWS will use the case number to identify and track all cross reports. Multiple calls pertaining to the same incident and same child are assigned to the same case number.
- iii. CWS will track all direct reports of suspected child abuse or neglect and all cross reports of suspected child abuse or neglect received on an electronic database which shall include the following information: (1) case number, (2) date/time cross report or direct referral received, (3) date cross report to HCSO made (if applicable), (4) status of HCSO investigation, and (5) status of CWS investigation. CWS shall provide HCSO with the results of the CWS investigation upon its conclusion.

b. Cases Outside of CWS Jurisdiction

- i. If CWS receives a report that falls outside of its geographical jurisdiction, the Department shall:
 1. If the reporter is a mandated or non-mandated reporter:
 - a. Immediately transfer the call to the appropriate agency; or
 - b. If CWS takes the report and cannot immediately transfer the call, it shall immediately send the report via telephone, fax, or electronic transmission to the appropriate agency, with a follow up call to the agency to ensure that the report is received.
 2. For cross-reports that come from the Sheriff's Office or any other agency:
 - a. Immediately use the CWS Email Cross Reporting Tracking System (ECRTS) to transfer the report via email to the appropriate agency, with a follow up call to the agency to ensure that the report is received.

3. After taking the above steps, CWS shall immediately call the reporter or reporting agency to inform the reporter or reporting agency that the report is outside the jurisdiction of the Department and to which agency it has transferred the report.

c. Receipt of Reports and Generation of Cross Reports

- i. The social worker screener shall generate a cross report when any mandated reporter or any concerned citizen calls to report possible abuse and/or neglect as defined in Penal Code section 11165.6.
- ii. After taking the report and determining that an allegation requires a cross report to law enforcement (per Penal Code section 11166 (j)), the Screener Supervisor shall make the cross report by telephone to the appropriate law enforcement agency immediately or as soon as practically possible and make a follow up written report as required by CANRA using ECRTS.
- iii. For reports that are assigned for investigation and a joint response with HCSO is necessary, the assigned social worker shall contact HCSO immediately if the case involves an emergency or 24-hour response, and within 36 hours if it involves a 10-day response.
- iv. In those instances where a law enforcement agency is conducting a criminal investigation arising out of, or related to, the alleged child abuse or neglect, the CWS investigation will be performed concurrently and the parties will collaborate to the extent possible to reduce the impact of the investigation on the involved minor(s).
- v. All written cross reports to HCSO shall be made electronically via email and shall include the name and the immediate contact information for the assigned investigating social worker to the extent possible.
- vi. The social worker making the cross report shall document in CMS/CWS the date, time, and manner of the cross report, as well as any follow-up information relating to the receiving agency's response. At the conclusion of the CWS investigation, the assigned social worker will provide HCSO with the results of the CWS investigation.

d. Cross Reports to the District Attorney's Office

- ii. Cross reports of known or suspected instances of child abuse or neglect reported to CWS, except acts or omissions coming within Penal Code section 11165.2(b) or reports made pursuant to Penal Code section 11165.13, shall be made to the District Attorney's office immediately, or as soon as practicably possible pursuant to Penal Code section 11166(j), using ECRTS. CWS shall electronically transmit a written report thereof within 36 hours of receiving the information concerning the incident.

e. Receipt of Cross Reports from HCSO and Other Agencies

- i. CWS desk duty staff will monitor the cross reporting inbox (cwscrossreporting@co.humboldt.ca.us) continuously throughout the day. When a cross report is received, it will go directly to a supervisor to determine next steps.
- ii. When a cross report indicates a field response is immediately needed, the supervisor will provide the report to a screener who will call the identified law enforcement officer to coordinate a response.
- iii. When a cross report indicates a field response may be needed, the supervisor will provide the report to a screener who will write up the referral and follow up with law enforcement within thirty-six hours.
- iv. If the cross report documents an existing CWS report, the supervisor will forward the email to clerical staff who will input the data into CMS to connect to the existing report.

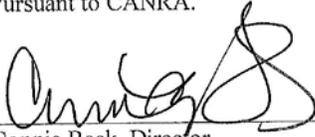
5. Joint Responsibilities of HCSO and CWS

- a. By August 31, 2019, the parties shall implement an electronic tool to make, receive, and track cross reports jointly by the agencies which includes a clear description of the steps taken by each agency.
- b. HCSO and CWS shall continue to participate in the Humboldt County Child Abuse Services Team (CAST) Advisory Board and the Protocol Subcommittee so long as they are invited by the Humboldt County District Attorney, and shall continue to coordinate with one another to facilitate information sharing and video/audio-taping of CAST interviews to avoid multiple interviews of child victims.
- c. CWS and HCSO will follow the CAST information sharing protocol enabling both agencies to share information with Humboldt County Mental Health (MH) in circumstances where representatives from HCSO, CWS, and MH are part of a

child's multidisciplinary team as defined in Welfare and Institutions Code section 18951, subdivision (d).

- d. The parties shall each review the data and performance indicators in the MOU to ensure compliance on a quarterly basis. The parties shall conduct joint meetings twice annually to discuss barriers to any of the processes set forth in the MOU and any recommendations of the third-party monitor.
- e. The parties agree to exchange updated organization-wide contact information within 24 hours after any change in contact information of personnel involved in any of the duties set forth in this MOU to facilitate contact between investigating law enforcement officers and investigating social workers.

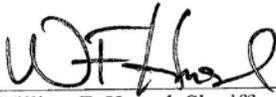
IN WITNESS THEREOF, the parties hereto have executed this MOU Re: Cross Reports Pursuant to CANRA.



Connie Beck, Director
Humboldt Department of Health &
Human Services

2-26-18

Date



William F. Honsal, Sheriff

2/15/2018

Date



Humboldt County Child Welfare System Improvement Efforts: Role of the Compliance Monitor and Complaint Process

Compliance Monitor Role - As part of the Judgment of a complaint brought by the California Department of Justice, Humboldt County has contracted with the Center for the Study of Social Policy (CSSP) to serve to “ensure compliance with the injunctive provisions of the Judgment”.¹ CSSP is a nonprofit public policy, research and technical assistance organization. For 40 years, CSSP has worked with policymakers and communities across the country on system and community reform efforts to improve the lives of children and families. CSSP has worked for many years with multiple states and counties in a role similar to the compliance monitor role in Humboldt County, providing independent oversight and support for their child welfare system improvements.

CSSP approaches the work collaboratively and will work with both County leaders, Department of Health and Human Services (DHHS), CWS staff and Humboldt County Sheriff’s Office (HCSO) staff, tribal representatives, families and other community stakeholders in assessing progress in meeting the requirements of the Settlement. CSSP will provide bi-annual reports on the County’s progress to Humboldt County, the California Office of the Attorney General and the general public.

Complaint Process - By virtue of CSSP’s role as Compliance Monitor and by request of the Office of the Attorney General, we will accept complaints regarding DHHS and HCSO related to the Judgment. We will not address complaints regarding matters being litigated in Court. Below is the procedure we will employ when we receive such complaints and/or inquiries.

1. Upon receipt of a complaint (in person, by phone or in writing) CSSP will listen to the reporter, with a focus on collecting information, determining if the complaint is relevant to the role of the Compliance Monitor and documenting concerns. Unless this recourse has already been utilized, CSSP will refer callers to the CWS Ombudsperson’s Office for resolution. As stated above, CSSP’s scope as outlined in the Judgment does not include individual complaint resolution and will only respond to complaints which fit within the scope of the Judgment. Information from such complaints where relevant will inform our systemic analysis.
2. Within no more than 5 business days CSSP will send documentation, via email and follow up via phone or in person as needed, of any reasonable complaints to appropriate Humboldt County liaisons: Deputy Director Ivy Breen and County Counsel Blair Angus at CWS or Investigator Scott Hicks and County Counsel Natalie Duke at HCSO.
3. If CSSP deems it necessary, they will investigate further via internal CWS records and/or interviews with reporters and/or staff.
4. Upon receipt of complaint from CSSP, Humboldt County liaisons will perform an internal review of the complaint/inquiry and initiate any necessary internal steps with staff or leadership toward resolution.
5. Within 5 business days of receiving the request from CSSP, CWS and/or HCSO is expected to respond to CSSP in writing regarding their investigation, determination of the relevance of the complaint and any follow-up actions taken or planned, if appropriate. Follow-up conversations may occur between CSSP and CWS/HCSO after review of the response.

Contact Information for Compliance Monitors

Judith Meltzer
Executive Vice President
judy.meltzer@cssp.org
Office: 202-371-1565

Gayle Samuels
Senior Associate
gayle.samuels@cssp.org
Office: 202-371-1565

Arthur Fidel Argomaniz
Project and Research Associate
arthur.argomaniz@cssp.org
Office: 213-617-0585 Cell: 626-774-4761

¹ February 13, 2018 Final Judgment: The People of the State of California v. Humboldt County Department Health and Human Services and Humboldt County Sheriff’s Office:
https://www.oag.ca.gov/system/files/attachments/press_releases/Signed%20Proposed%20Judgment.pdf

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