

December 14, 2020



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
(March 1, 2020 - August 31, 2020)



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

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

Progress Report
March 1, 2020 - August 31, 2020

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I. Background and Introduction

This is a report on the progress of Humboldt County's Department of Health & Human Services (DHHS), Child Welfare Services (CWS), and Sheriff's Office (HCSO) in completing agreed upon corrective actions to meet terms of a Judgment of the Superior Court of the State of California, entered by the California Attorney General (CA AG) on behalf of the People.^{1,2} The Judgment, dated February 13, 2018, includes a Memorandum of Understanding (MOU, Exhibit A) between DHHS and HCSO.³ This report covers performance from March 1, 2020 to August 31, 2020.⁴

DHHS and HCSO contracted with a third-party compliance monitor, as required by the Judgment.⁵ The Center for the Study of Social Policy (CSSP) serves as the third-party compliance monitor.⁶ Parties agreed that the monitor shall conduct a review of implementation of requirements of the Judgment, and prepare a written report bi-annually. This is CSSP's fifth bi-annual public report, detailing findings and recommendations for corrective action, if any, as pursuant to the Court's Judgment.⁷

This report covers performance almost fully within the earliest months of the COVID-19 pandemic.⁸ As is true across the nation, the pandemic has added strains to child welfare systems in all aspects of operations. While HCSO deputies, other essential HCSO staff, and some CWS social workers, primarily social workers conducting investigations, continued to see children and families in person during this period, most other staff converted to remote work. CWS created interim policy for remote work and coordinated to make sure staff were able to work from home

¹ This is the fifth progress report. Additional reports may be found at: <https://cssp.org/our-work/project/child-welfare-reform-through-class-action-litigation>

² In 2015, after receiving complaints that DHHS' Child Welfare Services (CWS) and HCSO were not always properly receiving, responding to, and investigating reports of child abuse and neglect, the CA AG conducted an investigation to determine whether CWS and HCSO were complying with CA's Child Abuse and Neglect Reporting Act (CANRA), Cal. Penal Code § 11164 et seq., and related provisions of the Welfare & Institutions Code.

³ A copy of the stipulation by Parties and the Judgment including Exhibit A, an MOU between HCSO and CWS, may be found at: <https://oag.ca.gov/news/press-releases/attorney-general-becerra-humboldt-county-agrees-system-wide-reforms-protect>

⁴ In some areas, data over a longer period are presented for additional information and perspective.

⁵ Judgment, Section 4.

⁶ CSSP works on federal, state, and county policy as well as on community, systems, and program levels to improve conditions for families and children. CSSP brings decades of experience working with federal, state, and local partners, parents, and youth to understand and improve experiences with and outcomes of multiple systems, including child protection. 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 children. More information about CSSP can be found at: www.cssp.org

⁷ CSSP has not made recommendations for additional corrective actions. Recommendations made herein are steps to achieve outstanding corrective actions of the Judgment, dated February 13, 2018.

⁸ On March 19, 2020, Humboldt County's Health Officer issued an Order directing residents to shelter in place of residence to avoid the spread of COVID-19.

and/or remain safe while working outside of their homes. DHHS and CWS staff also coordinated to meet the needs of families and children, to include ensuring access to food, housing, other basic needs, internet access, and transportation.

From March 20, 2020 to June 30, 2020, CWS social workers primarily reached and supported children and families by telephone and video and telecommuted for work.⁹ Children in foster care who had contact with their parents did so by telephone or video. On July 1, 2020 CWS resumed in-person contacts between social workers and children and children and their family members in all cases, with guidelines and safety precautions, as well as guidance to staff, parents, and resource parents on how to determine alternate plans if in-person visits may not be possible.¹⁰

The end of the six-month period covered in this report, August 31, 2020, marks the beginning of the last six-month period of the Judgment (September 1, 2020 to February 12, 2021). Over the past two years, there have been many improvements to the county's emergency response system for CANRA cases. In making changes, HCSO and CWS began to address findings of the inquiry which led to the February 2018 Judgment. Social workers, deputies, supervisors, managers, and others were called upon to perform differently to meet corrective actions of the Judgment and they have responded in many ways to improve the county's emergency response capacity to allegations of child abuse and neglect.¹¹

While much has been accomplished, there are outstanding corrective actions which predominately relate to developing and implementing methods of accountability and ensuring that changes to policy and procedure are fully embedded and can be sustained by the system. The outstanding actions require testing systems, gathering and analyzing data to report on the status of expected systems and practices, and making any needed adjustments. Relatedly, inconsistent implementation of policies and practices in accordance with expectations must be addressed in ways that foster understanding and collaboration and build trust between CWS and Tribal representatives. Below is a summary of some of the accomplishments as a result of the Judgment, followed by identification of the remaining corrective actions which need to be achieved.

Key Accomplishments

- *Humboldt County Community Task Force Is Active*

DHHS and HCSO took early action to create the Community Task Force, as required by the Judgment. From March 2020 to August 2020, DHHS and HCSO continued to host Community

⁹ CWS' building is open to some; most staff continue to work from their homes.

¹⁰ CWS followed guidance from the U.S. Administration for Children and Families, California's Department of Social Services, Department of Public Health, and the California Supreme Court to limit the spread of COVID-19.

¹¹ See filed complaint for results of the AG's inquiry: <https://oag.ca.gov/news/press-releases/attorney-general-becerra-humboldt-county-agrees-system-wide-reforms-protect>

Task Force meetings by telephone and video due to the pandemic. The conversion to a virtual meeting (video and phone) allowed the meetings to continue and, in some cases, made participation easier for those who were challenged by the considerable traveling required to attend meetings in person. The meetings provide an opportunity for child and family serving professionals and community members to learn more about the functioning of the County's child protection system, recognize what is working well, and troubleshoot when there are issues.¹² Continued outreach to increase community member participation remains important. A solid group of Community Task Force members have remained engaged. Members of the Community Task Force responded to a CSSP request for group interviews. Data from the interviews are included in Section B. of this report.

The Community Task Force provides a forum and opportunity for community members to raise issues for exploration and resolution by County officials. A positive example of the type of issues elevated for discussion through the Community Task Force during this period occurred when members questioned potential duplication of effort and intrusiveness when CWS and HCSO respond to families separately following a report of abuse or neglect which does not rise to the level of a crime. The HCSO CANRA Coordinator has since agreed to further inquire about this issue and explore possible ways to address the concern.

Another major required activity of DHHS and HCSO is to support Community Task Force members in developing a Child Protection Report Guide (CPRG). With support from consultants from the National Council on Crime and Delinquency/Evident Change (Evident Change) CWS, HCSO and Community Task Force Members, have worked to develop and pilot test the CPRG.¹³ The CPRG is expected to fully launch by April 2021.¹⁴ There was limited Tribal representation during activities to develop inter-rater reliability and field testing. Addressing continuing challenges in decisions made at screening and upon safety assessment is a related and important part of the work to develop and implement guidance. Evident Change has recommended that CWS explore alternative ways to engage Tribes and gather feedback during the soft implementation of the CPRG.

As some responsibilities of the Community Task Force near completion, HCSO, CWS, and Community Task Force members will need to work together on setting goals and priorities for the group. This includes responding to requests from group members and following through with initial DHHS/HCSO plans for a Continuous Quality Improvement (CQI) subcommittee, participation in tracking, reviewing, and responding to CWS and HCSO data.¹⁵

¹² Judgment, Section 3.II.

¹³ As of November 30, 2020 NCCD, is named Evident Change: www.evident.change.org

¹⁴ Judgment, Section 3.CC. (7).

¹⁵ Continuous quality improvement is the complete process of identifying, describing, and analyzing strengths and problems and then testing, implementing, learning from, and revising solutions:

- *Policies and Procedures Developed, Issued, and Presented In Training*

As a result of the Judgment requirements, CWS and HCSO have established new policies and procedures to better communicate state law and directives, created and delivered required training for staff, and implemented processes to communicate reports of suspected child abuse and/or neglect to each other.^{16,17,18,19} As discussed below and within the report, the principal challenges that remain are ensuring consistent understanding and implementation of the policies, procedures, and practices by CWS staff.

- *CWS 24-Hour Hotline With Immediate Access To A Social Worker Is In Place*

In compliance with the Judgment requirements, Humboldt County now provides 24-hour, direct access to a CWS social worker by telephone to respond to reports of suspected child abuse and/or neglect.²⁰ CWS data support that telephone calls are received and answered immediately by a CWS social worker in almost every instance. There also is now a separate telephone number in place to access CWS for routine inquiries.

- *A Large Backlog of Investigations Has Been Successfully Addressed*

When the Judgment was entered, CWS had a backlog of 293 investigations that had not been handled in a timely manner.²¹ The backlog remained for months after entry of the Judgment. Several different strategies were employed and tested by CWS, including the addition of staff, and CWS reduced its backlog of investigations as a result of the combination of efforts. This progress has been sustained in this period and currently most investigations close within a 40-day timeframe or by day 35, and there is supervisory review and approval for an extension beyond the 40-day

<https://www.childwelfare.gov/topics/management/reform/soc/communicate/initiative/ntaec/soctoolkits/continuous-quality-improvement>

¹⁶ Judgment, Implementation of a New Emergency Response System and Revision of Policies and Procedures by Defendant CWS, pages, 4 - 7; Tribal Collaboration, pages 7 - 8; Revision of Policies and Procedures by Defendant Sheriff's Office, pages 8 - 10; Electronic Records and Tracking, pages 9 - 10; Section 3.EE. and Section 3.FF.

¹⁷ CWS provided data showing 93 percent (151 of 162) of applicable staff are up to date on CANRA and WIC training as required by the Judgment.

¹⁸ HCSO reports not yet delivering annual/2020 CANRA and related policy training for deputies, usually scheduled in August of each year, due to the pandemic.

¹⁹ CWS and HCSO agree that CWS will send current and historical information to HCSO regarding families on all reports meeting the criteria of severe neglect or abuse. HCSO decides whether to respond primarily based on an allegation meeting a CA Penal Code definition or conduct a safety check.

²⁰ Judgment, Sections 3.F. - K.

²¹ The expectation is that investigations close within 30 calendar days of CWS contact with the child, therefore, the closure date is dependent on the date of first contact with the child and can range from 30 (for an immediate contact following a report) to 40 days (for a contact 10 days following a report) but cannot exceed 40 days. CA DSS ACL 18-28 clarifies CA DSS Manual 31-101.3.33 and 31-101.5.1.511-513, effective 10/1/16 that no investigation is to exceed 40 days.

timeframe.^{22,23} This is a significant accomplishment of CWS to follow terms of the Judgment and state policy.

- *CWS Is Beginning To Build System Structures To Support Practice Expectations*

CWS is building infrastructure to better support staff to serve children, youth, families, and the community. This includes a Workforce Development program with several goals, including helping to coordinate initial and ongoing training, coaching, and other opportunities for staff to develop skills; a CQI program to increase understanding of and communicate agency functioning internally and externally; and a program primarily for children who are a member of or eligible for membership in a local Tribe.

- *CWS Is Staffing To Support Practice Expectations*

DHHS increased the number of CWS social worker positions, including supervisory social workers. CWS also hired managers for the programs under development. The position of deputy Director of programs has also been filled replacing the last permanent deputy Director of programs who left the position in March 2017. Having a competent and effective workforce, responsive to each other, leadership, children, youth, families, and Tribes are some of CWS' stated goals.

- *Complaint Systems Have Been Developed*

Both CWS and HCSO have mechanisms to receive and address complaints.²⁴ CWS created an Ombudsperson's Office in April 2018. In November 2019, DHHS produced a report based on a review of the internal functions of the CWS' Ombudsperson's Office. Based on the review, CWS reports taking steps to improve aspects of the Office, including housing it within the CQI program, and revising administrative and reporting processes. HCSO designated a deputy to manage both formal and informal complaints regarding CANRA cases and serve as a link to a CWS manager. When needed, this connection helps to address any concerns involving both agencies.

Outstanding Corrective Actions

- *CWS Has Not Assessed Practice In Accordance With Policy Expectations*

There are several corrective actions of the Judgment related to CWS ensuring the work to instill new practices is being effective (Judgment Sections 3.E, K, M, and N.). Almost one year ago, reporting on the six-month period ending August 31, 2019 and 18-months post Judgment, CSSP stated that CWS had "failed to develop internal capacity to assess overall practice in accordance with policy expectations and to systematically understand whether and how individual complaints

²² Judgment, Section 3.CC.(8).

²³ As part of CWS' work with Evident Change to reduce the number of investigations open for multiple months, CWS expects that investigations will not exceed 40 days, unless by the 35th day the social worker requests to extend the investigation timeframe and a supervisor approves with a plan for timely closure.

²⁴ Judgment, Sections 3.GG. and HH.

reflect overall practices and outcomes.”²⁵ At that time, CWS reported that demands on fulfilling other requirements of the Judgment had negatively impacted the prioritization of quality assurance functions. CWS can create multiple quantitative data reports and is building capacity to use multiple forms of data to anticipate, learn about, address, and avoid case-based and systemic issues. However, CWS does not yet have the capacity to assess overall practice in accordance with policy expectations.

- *Inconsistencies In Working With Tribes And Fostering Necessary Collaboration Remain, Impacting MOU Development With Tribes*

Tribal representatives have expressed validated concerns about non-adherence to policy and practice requirements by CWS during intake, investigations, and cases. These continued concerns relate to missed steps to collaborate and have led to apprehension on behalf of some Tribes in negotiating a protocol with the County. Clear dispute resolution processes, articulated for both Tribes and CWS staff, were expected to be contained in the County’s protocol or MOU with individual Tribes but are yet not in place. In the interim, CWS leadership offered to and receive complaints on a case by case basis, while encouraging resolution among frontline staff. County leaders and the CWS Tribal Consultant have also continued to reach out to Tribal leaders regarding negotiating MOUs.

Outline for this Report

The outline for this report is as follows:

- Section II. Monitoring Activities describes CSSP’s activities to assess CWS’ and HCSO’s status in maintaining and meeting outstanding terms of the Judgment.
- Section III. Summary of Performance provides an overall summary of DHHS, CWS, and HCSO performance in completing and maintaining corrective actions of the Judgment.
- Section IV. Discussion and Recommendations
- Section V. Summary Table of Performance on all Corrective Actions February 14, 2018 – August 31, 2020.²⁶

Gayle Samuels and Judith Meltzer prepared this report, with support from Arthur Argomaniz for presentation to Parties and the public.

²⁵ This timing was also 2 months into the tenure of the current CWS Director, following the services of the DHHS Director as Interim CWS Director. The CWS Director upon the filing of the Judgment resigned in January 2019 after serving in that role for 15 months.

²⁶ Presented in six-month periods: February 2018 through August 2018; September 2018 through February 2019; March 2019 through August 2019; September 2019 through February 2020, and March 2020 through August 2020.

II. Monitoring Activities

During this period, to track and report on progress, CSSP reviewed and analyzed data gathered from DHHS, HCSO and CWS leadership, CWS staff and consultants, HCSO, Tribes, and members of the Humboldt County Community Task Force. CSSP also reviewed electronic case records in CWS/Case Management System (CMS); SafeMeasures[®], particularly to further understand complaints related to both CWS and HCSO actions and communications; Structured Decision Making (SDM)[®] assessments.^{27,28,29} CSSP accessed the data organizing system used by the CQI Program. CSSP also initiated planning for a case record review to be conducted in October 2020, in order to facilitate monitoring and reporting on CWS terms of Sections 3.E., K., and N. of the Judgment.

III. Summary of Performance

The following presents performance and progress by CWS and HCSO in key substantive areas of the reform work and Judgment from March 1, 2020 to August 31, 2020.

A. Tribal Collaboration

Humboldt County children who are identified as American Indian and who are eligible for or enrolled in a Tribe represent a significant number of CWS investigations and cases.

Of the 394 reports that CWS assigned for investigation from March 1, 2020 to August 31, 2020, involving 534 children, primary race and ethnicity data are only available for 67 percent (359 of 534) of the children. The *primary race/ethnicity* of 35 percent (127 of 359) of the children is identified as American Indian and 81 percent (103 of 127) of those children were members of or eligible for membership in a Tribe in Humboldt County.^{30,31}

²⁷ CWS/CMS is a statewide child welfare electronic case management system.

²⁸ SafeMeasures[®] is an Evident Change business intelligence tool, adopted statewide. SafeMeasures[®] uses case management data, uploaded nightly, to provide agency Directors, managers, supervisors, or social workers with case-based outcomes on key performance indicators. The work of individual social workers, the work of multiple social workers who form a unit and are led by one supervisor, the work of the entire county's, and statewide performance. Social workers can prioritize work, identify problems, make sure data reflect work done and progress made, and plan for improvement.

²⁹ SDM[®] is an Evident Change model consisting of several assessment for use by child protection agencies and workers to promote safety and well-being of children: <https://www.evidentchange.org/assessment/sdm-structured-decision-making-systems/child-welfare>

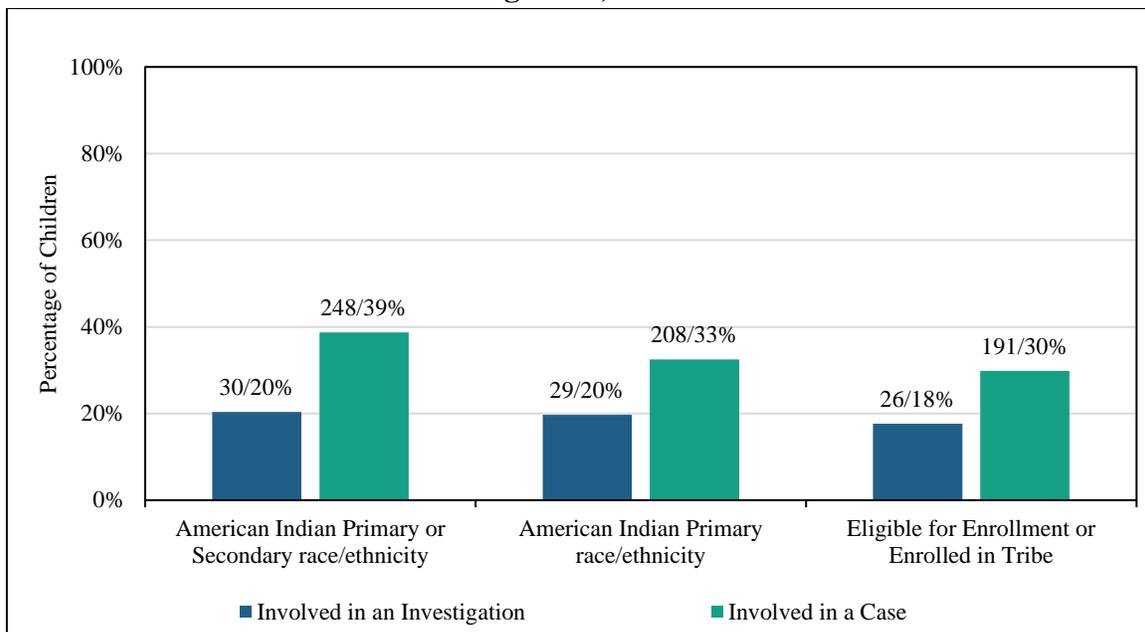
³⁰ Missing data fields are either blank (154), indicate unable to determine (1), or decline to state (4).

³¹ For investigations, the data are based on a unique count of children involved in an investigation assigned at any time during the reporting period and whose primary ethnicity is identified. If that child was involved in more than one investigation assigned during the reporting period, they are only counted once.

Children whose *primary race/ethnicity* is identified as *American Indian* or who are noted in CWS/CMS as eligible for or are members of a Tribe represented 33 percent (89 of 266) of children involved in an in-home case from March 1, 2020 to August 31, 2020, and 33 percent (167 of 507) of children who were in foster care at any time from March 1, 2020 to August 31, 2020.^{32,33,34}

The number of children involved in an investigation or case, on August 31, 2020, and whose *primary or secondary or primary race/ethnicity* is identified as *American Indian* is depicted in Figure 1 below. Children who are eligible for enrollment or enrolled in a Tribe are also depicted in Figure 1. Depending on the source of data, American Indian children represent 18 to 20 percent of CWS investigations and are involved in 30 to 39 percent of cases where, post-investigation, CWS is providing voluntary or Family Court-ordered services to a family while children remain at home (family maintenance) and foster care cases.

**Figure 1: American Indian Children Involved with Humboldt County CWS
August 31, 2020***



Source: Humboldt County CWS

*On August 31, 2020, there were 147 children involved in a CWS investigation and 640 children involved in a CWS case, including 151 children in a family maintenance case and 489 children in foster care.

³² Sixty-eight of the children involved in an in-home case were members of a Tribe in Humboldt County.

³³ Seventeen children with no primary ethnicity or Tribal affiliation identified were removed from the universe of children involved in a family maintenance case; and 16 children with no primary ethnicity or Tribal affiliation identified were removed from the universe of children involved in a foster care case.

³⁴ One hundred and fourteen children in foster care are identified as a member of or eligible for membership of a Tribe in Humboldt County. An additional 24 children are identified as a member of or eligible for membership of a Tribe outside of Humboldt County.

According to estimates, in 2020, American Indian/Alaska Native children represent 6.9 percent of the Humboldt County child population, a reduction from 2018 when they were estimated to represent 7.4 percent of the county’s population.³⁵ American Indian children are overrepresented in the Humboldt County child welfare system, given their population in the County.

The Judgment creates systems for continued conversation and action in collaboration with Tribes to achieve common goals in alignment with California ICWA policy.³⁶ These include CWS inquiring of each reporter to the hotline about a child’s possible Tribal affiliation; at intake, inquiring of local Tribes about membership or eligibility for membership; collaborating with Tribes to decide whether to investigate a report, the applicable response time for, and the disposition of an investigation involving a child who is a member of or eligible for membership in a Tribe; engaging a Tribal Consultant; and making good faith efforts to negotiate and develop protocols (MOU) with each of the Tribes of the county.³⁷ Making sure these corrective actions, embedded in new policies and procedures, are consistently reflected in practice is part of the outstanding work of CWS.

CWS policies and procedures related to collaboration with Tribes are inconsistently implemented

Representatives of Humboldt County Tribes worked with CWS to provide input on policies and procedures, as required by the Judgment. Although CWS missed two deadlines (June 2018 and August 2018) to complete this work, by the end of November 2018, CWS had gained input from Tribes in order to finalize policy revisions. CWS issued new policies and procedures, including about working with Tribes and trained all staff in early 2019. There are requirements for initial training for new staff and annual or refresher sessions for all staff and these include expectations for working with Tribes, with a focus on collaborative decision making.³⁸

In August 2019, CWS proposed working in formal, paid partnership with local Tribes to craft, implement, and monitor a responsive CWS program dedicated to primarily serving local Tribal children and families (an “ICWA” program). In March 2020, DHHS, CWS, and Tribal representatives began meeting weekly to build an ICWA program. Since, as described above, Tribal representatives are aware of and have been frustrated over issues with implementation of CWS practices and policies, early meetings focused on establishing trust and providing a forum for Tribal representatives to raise concerns about structures and resources of the child welfare system directly to CWS leaders and managers. The meetings were initially facilitated by CWS’ Tribal Consultant related to this Judgment.

³⁵ <https://www.kidsdata.org/region/324/humboldt-county/summary#6/demographics>

³⁶ Indian Child Welfare Act/ICWA: <https://www.cdss.ca.gov/inforesources/tribal-affairs/icwa>

³⁷ Judgment, Section 3.N.

³⁸ Judgment, Section 3.EE.(5).

Tribal Social Services representatives continued to report inconsistencies in applying policies at intake, during investigations and ongoing cases, and a lack of accountability when expectations, especially those related to joint assessments and/or decision making between CWS and Tribal Social Services, are either not fully understood or followed. During this period complaints to CWS management, leadership, and the Ombudsperson's Office, as well as to CSSP continued to indicate inconsistent policy implementation, decision making, and practices at intake, during investigations, and in ongoing cases. Tribes have urged CWS to address current practice and systemic concerns and plans to prevent them from being replicated in the ICWA program.

CSSP has shared with CWS leaders and in progress reports, concern about inconsistencies and lapses in implementing policies and procedures for Tribal collaboration and that CWS did not appear to have processes to allow systematic identification of deviations from policy prior to receiving an individual complaint. Further, to provide a prompt response to a complaint, at times, CWS' initial responses to complaints were incomplete and appeared non-responsive to Tribal representatives.

CWS contracted with the National Indian Child Welfare Association to provide consultation, including gathering and presenting information from other jurisdictions with programs or units focused on cases involving Tribal children.³⁹ In addition, at DHHS'/CWS' request, in September 2020, the Director of California's Department of Social Service's Office of Tribal Affairs joined the group to assist in moving the work forward.

CWS recently hired a manager for the ICWA program and invited Tribal Social Services Directors to participate in the hiring process for the position. Planning for the program is now underway.

CWS and the CWS Tribal Consultant continue to work towards developing MOUs with Tribes

The Judgment required Humboldt County DHHS to negotiate and develop protocols governing the processes for collaboration that will ensure timely, shared decision making on cases involving Tribal children, with the eight federally recognized Tribes in Humboldt County.⁴⁰ These protocols were also to include a mutually acceptable procedure for the resolution of disputes when Tribal social workers and CWS are not in agreement with case plan decisions. The corrective action required CWS to make good-faith efforts to develop the protocols with each Tribe by November 2018. CWS shared a draft protocol or MOU with Tribes in October 2018 and appeared before the Karuk Tribal Council in November 2018. CWS also began to work with the Hoopa Valley Tribe to develop an MOU.

From June 2018 to November 2018, DHHS and CWS were actively in violation of related AG requirements. Therefore, some Tribal representatives believed the County could not in good faith

³⁹ <https://www.nicwa.org/>

⁴⁰ Judgment, Section 3.P.

simultaneously negotiate additional related agreements. Since 2018, some Tribal representatives have expressed concerns about the foundation for developing an MOU with the County while current policy and practice requirements and expectations are not consistently met.

On February 5, 2019, the Humboldt County Board of Supervisors approved an MOU between the Hoopa Valley Tribe and Humboldt County's DHHS and CWS. This is the only protocol developed and approved. It was developed with assistance from the CWS Tribal Consultant, who CWS hired pursuant to the Judgment. Efforts to gain a picture of the extent to which the agreements of the Hoopa MOU have been implemented have not yet been made by CWS. The MOU expires on February 6, 2021, it can be extended for an additional term of two years upon written agreement of the parties.

In addition to an appearance before the Hoopa Valley Tribal Council, DHHS and CWS leadership and CWS' Tribal Consultant have appeared before four other Tribal Councils. They have also met with Tribal Social Services leaders regarding developing MOUs to fit the individual needs of each Tribe.

In September 2019, DHHS and CWS leadership, the Yurok Health and Human Services Director, and, at the request of the Yurok Tribal Council, a member of the Humboldt County Board of Supervisors, appeared before the Yurok Tribal Council to address entering a protocol development process. The Yurok Tribal Council directed that the Yurok Health and Human Services Director and CWS work together on the Tribe's expectations for an interim action plan, including steps for immediate dispute resolution on pending case situations, and return to the Tribal Council to initiate protocol negotiations. The CWS Director temporarily took responsibility for responding directly to CWS-Yurok Child Welfare disputes and all parties decided this approach did not work to resolve issues in a timely. While leadership may have to intervene in cases for at times, it is much more important that all frontline staff have the skills, tools, resources, and support to work in partnership, and in ways that support the Humboldt Practice Model.

Follow-up reporting to the Yurok Tribal Council has not yet occurred and no date has been set for a subsequent meeting. Other Tribes have pointed to the Hoopa Tribe' Protocol and Yurok Tribe's experience and lack of follow-up by the County on protocol development, as examples of reasons to be cautious in proceeding with MOU development. Despite this, CWS, the CWS Tribal Consultant and Tribal Social Services Directors remain in conversation in order to achieve an MOU with each local Tribe.

DHHS' efforts to improve services to Tribal children include contracting for specialty mental health services for Tribal children and families⁴¹

The pandemic delayed the beginning of service delivery for the first Native American organizational provider of specialty mental health services in Humboldt County, Two Feathers Native American Family Services (Two Feathers), a non-profit of Big Lagoon Rancheria. Two Feathers began working with children and families in October 2020 and is under contract to provide services through December 2021.

B. Community Task Force and Inter-Agency Coordination

Representatives from Humboldt County school districts, Office of Education, Department of Probation, DHHS' Mental Health Division, local law enforcement, Tribal Social Services Department staff, Court Appointed Special Advocates, Humboldt County Courts, Family Resource Centers, youth advocates, Humboldt County Public Health, foster parents, and CWS staff continued to attend virtual Community Task Force meetings hosted by HCSO and DHHS as required by the Judgment.^{42,43} These professionals represent mandated reporters of suspected child abuse and/or neglect who, until the pandemic, had been responsible for almost three-quarters of the reports of suspected child abuse and/or neglect to CWS, depending on the time of year. Both the number of reports and the percentage from mandated reporters have reduced since the beginning of the pandemic.

Figure 2 presents data from September 2019 to August 2020 on the total number of child abuse and neglect reports CWS received and the portion of those reports made by mandated reporters. CWS performance on generating a letter notifying a mandated reporter of CWS actions on the report averages 98 percent. Data from March to September 2020 show that a feedback letter was generated for 100 percent of mandated reporters.⁴⁴

⁴¹ While this important accomplishment is not part of the Judgment, it is a demonstration of DHHS' work with Tribes on behalf of children and families.

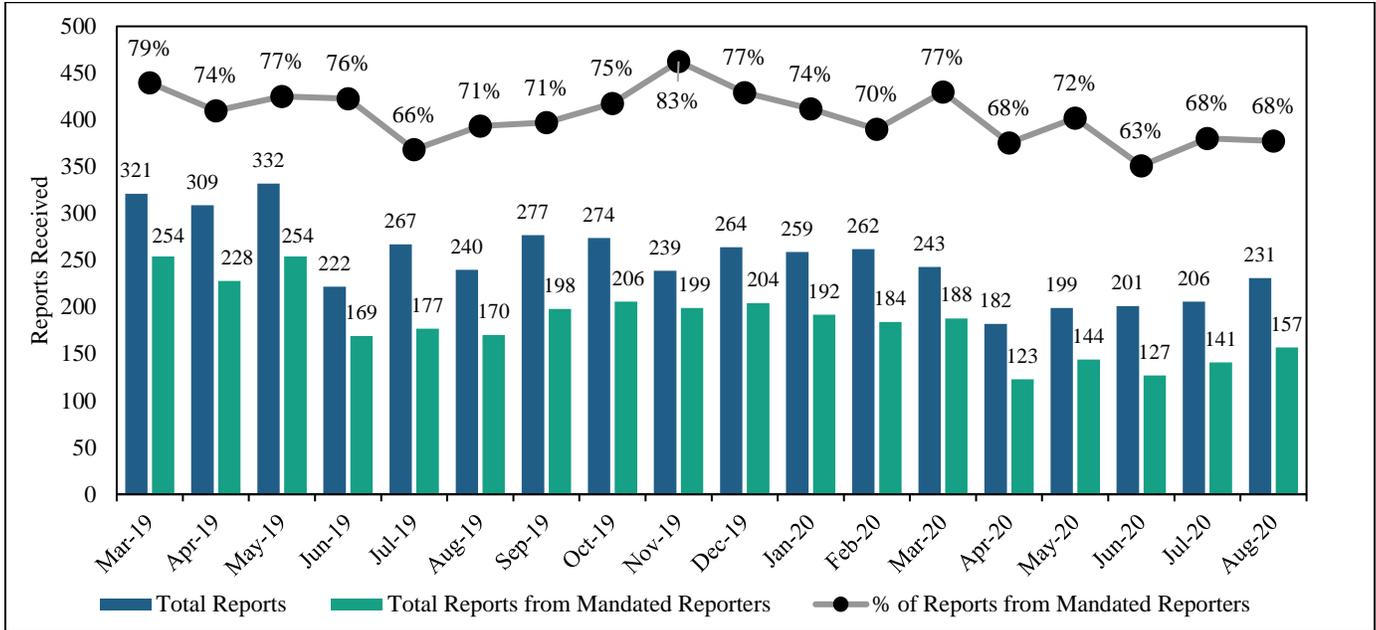
⁴² Humboldt Network of Family Resource Centers: <https://www.hnfrc.org/home>

⁴³ These representatives are expected to make policy recommendations to their respective departments (Judgment, Section 3.II.).

⁴⁴ Judgment, Section 3.L.; Generation of a letter does not indicate the letter is sent to the mandated reporter but is the best measure CWS has of this requirement.

**Figure 2: Total and Percentage of Suspected Child Abuse and/or Neglect Reports Received by Humboldt County CWS from Mandated Reporters
March 2019 – August 2020**

N=4,528



Source: Humboldt County CWS

The DHHS - HCSO Community Task Force meets virtually

DHHS and HCSO held Community Task Force virtual meetings in May, June, and August 2020. The last Community Task Force for 2020 was held in November 2020. Each month, two shorter meetings were held as opposed to one long meeting. These meetings were well attended, including Community Task Force members who had not attended recent in person meetings, and frontline CWS staff.⁴⁵ Participants engaged in conversation with each other and presenters by video and text. Topics included CWS’ Ombudsperson’s Office and the HCSO’s CANRA complaint process; CWS’ System Improvement Plan (SIP); updates on and real-time work sessions to develop the Child Protection Reporting Guide; HCSO’s efforts to protect confidentiality of reporters of suspected child abuse and/or neglect; and reporting from CSSP on monitoring.^{46,47,48} The Community Task Force has not filled one of the Co-Chair positions left vacant in August 2019 when the former Co-Chair, a resource and adoptive parent, accepted a position with CWS.

⁴⁵Agendas, notes, and materials from Community Task Force meetings may be found at: <https://humboldt.gov.org/2373/Community-Task-Force>

⁴⁶ State Law (AB 636) established the California-Child and Family Services Review (CCFSR) outcome and accountability system. C-CFSR requires California counties to complete a Self-Assessment Report (SAR) and develop a System Improvement Plan (SIP) to “redesign” CWS systems and improve outcomes.

⁴⁷ Judgment, Section 3.CC.(7)

⁴⁸ Judgment, Section 3.KK.(1) a.-d.

CSSP conducted multiple group interviews with Community Task Force members to learn about their experiences with CWS and HCSO, and the role and direction they would like to see the Community Task Force pursue in the future. Community Task Force members reiterated the improved responsiveness of CWS both at the hotline and during investigations. There is appreciation for the county holding hold space for community conversations on important topics and being more transparent with the community about operations and data.

Interviewees also shared that Community Task Force members want to collaborate with CWS and HCSO. Participation in and support of development of the mandated reporter guide is an example. They want to see more joint work, as opposed to predominantly receiving information from the agencies. For example, members spoke of wanting to work with HCSO and local police to address concerns about law enforcement's response to CWS reports. Concerns relate to law enforcement responding in person to a family's home when a report does not necessitate a police officer or sheriff response, especially late into the night or early mornings. Interviewees spoke of the unintended consequences this may have on families: telling their story to multiple people, decreased cooperation and communication with CWS and/or other systems which may offer help.

Humboldt County's District Attorney's Child Abuse Services Team finalized the CAST protocol

The CAST is a group of professionals representing multiple disciplines, sponsored and hosted by the DA's Office.⁴⁹ Representatives include local law enforcement, CWS, county Mental Health, Tribal representatives, community service providers (including the North Coast Rape Crisis Team), and Victim Witness' Advocates who collaborate to respond to the needs of children and youth requiring forensic interviews. As previously reported, the completion of the Humboldt County DA's Office's updated CAST protocol was long overdue.⁵⁰ On May 1, 2020 the Humboldt County CAST released a protocol, the "Guidelines for a Multidisciplinary Team Response to Child Abuse".⁵¹ See appendix B of this report for a copy of the CAST protocol. The DA's Office plans to append additional information relevant to local Tribes, as needed.

Following a meeting between a CA Deputy Attorney General and the Humboldt County District Attorney (DA) on February 19, 2020, CWS, HCSO, the DA, and representatives from local Tribes, including Bear River, Trinidad Rancheria, and Two Feathers Native American Family Services, participated in a Humboldt County Child Abuse Services Team (CAST) Protocol Development Subcommittee meeting. Humboldt County's DA worked with the CWS Tribal Consultant to develop Tribe specific addendums to reflecting how local Tribes should be informed by the DA's Office of CAST interviews. While the DA's protocol was in development, CWS continued to honor an interim agreement, to notify Tribes of CAST interviews involving applicable children.⁵²

⁴⁹ <https://humboldt.gov/2413/Child-Abuse-Services-Team-CAST>

⁵⁰ Judgment, Section 3.B.

⁵¹ The final signature on the CAST protocol is dated July 1, 2020.

⁵² See page 14 for CWS interim agreement - <https://cssp.org/wp-content/uploads/2018/12/California-v-Humboldt-County-Progress-Report-for-the-Period-Feb-Aug-2018.pdf>

CWS shared and CSSP verified data for March through August 2020 showing contact between a CWS social worker and a Tribal representative regarding scheduled CAST interviews with a child in April 2020. Although outside the timeframe of responsibility for primary notification, there was also documentation of a July 2020 CWS notification of a CAST to a Tribe.

C. Training and CWS - Evident Change Technical Assistance Contract

The Judgment includes training requirements for CWS and HCSO staff, related to the MOU between the two agencies, and new and updated policies.⁵³ It also includes corrective actions related to CWS' technical assistance (TA) from Evident Change.⁵⁴

CWS met training requirements of the Judgment; HCSO's training was delayed due to the pandemic

CWS provided documentation of training and coaching delivered from March 1, 2020 to August 31, 2020, which meets the expectations of the Judgment; 93 percent (151 of 162) of applicable staff are up to date on CANRA and WIC training as required.⁵⁵

The pandemic delayed HCSO's annual CANRA training for deputies from August 2020 to November 2020. Pandemic-related physical distancing requirements led HCSO to amend training for delivery to smaller groups, cohorts of deputies by shift. HCSO expects that all deputies will receive required annual training by early December 2020.

Evident Change provided technical assistance and leadership coaching

CWS' work with Evident Change, scheduled to be completed on-site was postponed in March and April but resumed remotely in May 2020. Work towards finalizing the Child Protection Reporting Guide, building a CQI culture, increasing fidelity for SDM[®] tools and related practices continued from May to August 2020. During this period, Evident Change assisted CWS in releasing a survey to capture parents' impressions of their engagement experience with child welfare staff during investigations and ongoing cases.

SDM[®] Training and Coaching

CWS staff have the opportunity to meet monthly with Evident Change staff who facilitate discussions about SDM[®] tools and safety-organized practices; provide clarification about SDM definitions; and reminders about CWS policies which impact risk assessment practices.⁵⁶ Evident Change reports that perhaps as a result of the pandemic, reduced intake demands, and reduced investigation demands, more supervisors and staff participated during this period. CWS reports

⁵³ Judgment, Section 3.EE.

⁵⁴ Judgment, Section 3.BB.

⁵⁵ Eleven CWS staff who were, and continue to be, on leave at the one-year mark of their last training were excluded from the universe.

⁵⁶ Judgment, 3.C. and 3.K.

that as of February 2020, they are following Evident Change's recommendation that each supervisor review at least one investigation per social worker per month using the CA SDM[®] case reading tools to verify and provide supports where needed to ensure fidelity to the SDM[®] assessments.

Child and Family Team Meetings

Evident Change's TA to CWS included selecting and embedding a family meeting model to engage families, their informal and formal supports, and Tribes in family-led planning.⁵⁷ CWS has a model which includes forming, supporting, and relying on teams consisting of parents, youth, children and those who support them. Team members are expected to be engaged in a family-led planning process over the life of a case at key decision points. There are core elements of the model, which are also outlined in best practices, such as pre-meeting coordination and preparation, consensus-based decision making, and family team involvement in creating plans and follow-up activities.

From March 1, 2020 to August 31, 2020, 393 meetings of a child and family team were held for 339 CWS cases. While meetings are being held for some children, the number of meetings planned and held is below the expected number, given the policy and purposes for the meeting. No data are currently available on the number meetings that held compared to the number of meeting that could have been held.

Importantly, many of the expectations for this important practice cannot be measured by the number of meetings or the number of persons who attend the meetings. Qualitative methods such as individual and group interviews, surveys of participants, and observations, are needed. CWS states that conducting a review of these meetings is a long-term planning goal for the CQI program. At this time, CSSP cannot make a statement about the extent to which Child and Family Team Meetings have been implemented.

Workload Study

The Judgment required that CWS amend a contract with Evident Change to include a Workload Study to estimate the resources and number of staff needed to perform the necessary functions of the child welfare agency in compliance with laws, rules, and policies applicable to Humboldt County. After considerable planning and preparation, data collection tasks for the study by social workers and their supervisors, anticipated to take two months, began on March 2, 2020, but were suspended on March 19, 2020 due to the pandemic. The changes in a CWS social worker's activities due to the pandemic led to the decision, in consultation with the CA AG's Office, to stop the study. Evident Change will present data collected before the study was suspended for CWS consideration. The AG is working with CWS to formalize an alternate proposal related to workforce development.

⁵⁷ Judgment, Section 3.M.

CWS' quarterly recruitment for vacant positions resulted in filling three social worker positions from March 1, 2020 to August 31, 2020. Social worker recruitment to fill vacancies began again on August 19, 2020, with interviews and reference checks occurring in September and October 2020 respectively. Offers to qualified applicants are anticipated to be made in October 2020.

Recruitment for vacant social services aides (staff who work directly with children, youth, and families and assist social workers) positions from March 1, 2020 to August 31, 2020 yielded one new social services aide. As of August 31, 2020, 17 of the 33 (52%) social services aide positions were filled.⁵⁸

CWS' staffing plan allocates eight social worker positions to receive and screen reports of suspected abuse and/or neglect during business hours and each position is filled as of August 31, 2020.⁵⁹ There are 20 social worker positions assigned to conduct child abuse and neglect investigations, 18 are filled (including 4 staff on leave) and there are two vacancies.⁶⁰

Leadership Coaching

The Judgment and Evident Change's contract with CWS referred to TA (to improve the delivery of) culturally responsive services, including leadership coaching.⁶¹ Evident Change contracted with CWS to provide coaching to increase the ability of CWS leadership to recognize, understand, and appreciate cultural differences, and the impact of race, historical trauma, class, gender, and sexual orientation on individuals, CWS management decisions, the overall functioning of the organization, and on the children, youth, and families CWS serves. The CWS Director participated in leadership coaching sessions with Evident Change from March 2020 to August 2020 to learn about the model and how it may benefit CWS. Beginning in January 2021, CWS will extend Evident Change's coaching to all staff beginning with a multi-day overview, cohort learning sessions, and group supervision. Leadership coaching will continue.

CWS maintained a significantly reduced number of investigations in backlog

Evident Change worked with CWS to implement structures and processes to review and close investigations of families which had been open with CWS for 40 days or more. As discussed in the prior monitoring report, CWS also independently implemented structures to reduce and maintain a low backlog of investigations, including an additional investigations unit and pairing social workers. This progress has been sustained. Social workers continue to work in pairs to conduct investigations, one of the reforms put in place to correct the problems.

Community stakeholders continue to report that the changes have greatly increased their ability to reach CWS staff, especially a social worker, when there is an open investigation. There is support

⁵⁸ Filled positions include staff on extended leave.

⁵⁹ Ibid.

⁶⁰ Ibid.

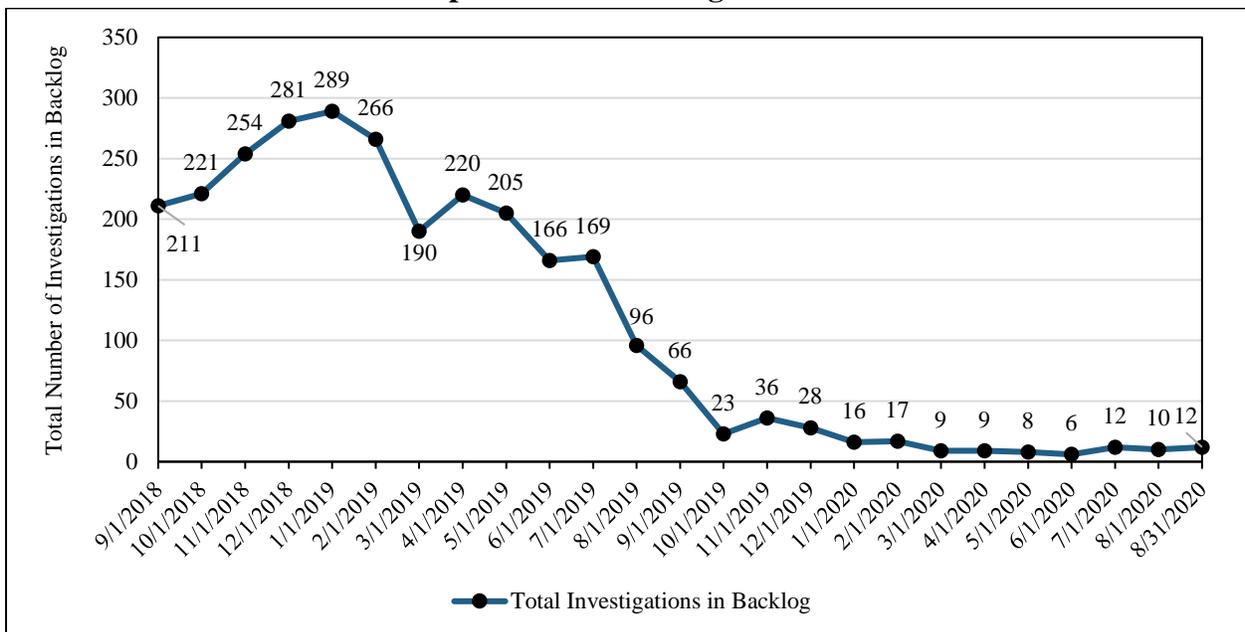
⁶¹ Judgment 3.BB.(2).

for the pairing arrangement. Some who work regularly with CWS have noticed a decline in responsiveness when a social worker no longer has a partner and responsibilities increase. Therefore, CSSP recommends that this practice continue and CWS reports intending to continue the paired staff arrangement.

CWS also assigns reports for investigation to social workers based on the family’s residence and the Tribe for which a child is eligible or in which the child is enrolled.⁶² Investigation timeliness has reportedly improved through social workers, supervisors, and the manager of the program reviewing and tracking regular data reports on the status of investigations and intervening to improve performance.

Figure 3 below shows the number of CWS backlogged investigations on the first day of each month from September 2018 to August 2020.

**Figure 3: CWS Investigations Backlog
September 2018 – August 2020**



Source: Humboldt County CWS

On August 31, 2020, there were 12 investigations in backlog. On July 1, 2020, there were also 12 investigations in backlog status. Each month during this six-month monitoring period, there were no more than 16 investigations in backlog. These data do not include those investigations with an approval by a supervisor to extend beyond 40 days.

⁶² CWS made interim assignments of staff to work with Tribal children and families, and as of April 2020 is beginning to work with Tribes to develop criteria for and finalize assignments.

Of the 424 investigations that closed from March 1, 2020 to August 1, 2020, 234 closed within 40 days. For an additional 69 investigations, there was both a request received prior to the 40th day of the investigation and supervisory approval was granted to extend the investigation time. CWS states that a request for an extension of an investigation is due five days before the 40th day after the agency received the report (or five days before the investigation would be in backlog status if not completed). However, almost half of the requests for extensions that were approved by the supervisor were made beyond the 35th day (the set due date).

A supervisor approved each of 120 requests for an extension, including the 51 requests submitted on or after the investigation reached backlog status. For the remaining 71 (60%) investigations which closed on the 40th day or after CWS received the report, there was no request for extension submitted, although the use of this extension procedure was previously agreed to by CWS after conferring with the CA AG's office. A CWS manager or deputy conducted a secondary review of about half (64) of the 120 extension requests and agreed with the extension of time for most, 58 of 64, of the requests reviewed. A program manager receives and is expected to use these data for tracking and improvement.

As previously reported, while the request for extension forms are being submitted and the review processes are underway, they are not in use as fully intended.⁶³ The goal of a request for extension process was not completed forms or managerial oversight of completed forms but that social workers and supervisors provide timely, useful data to management and leadership to better understand investigations practices, identify barriers and challenges, and make improvements where needed.

The most common reasons for requesting an extension include needing to conduct additional interviews and awaiting documentation from law enforcement and/or court. This may reflect a need to assess processes between law enforcement and courts and CWS for sharing information to understand whether there are systemic fixes needed.

D. Implementing a New Emergency Response System

CWS' 24-hour emergency response system, to receive and respond to reports of abuse and/or neglect, continues to operate. Mandated reporters at the Community Task Force confirm these improvements. HCSO and CANRA Coordinators have developed a system of tracking reports to ensure timely cross-reporting. CWS and HCSO reported planning to increase the frequency of reconciling data to make sure that reports are received and attended to as needed but have not yet done so. HCSO plans to include data reconciliation in a monthly meeting with CWS.

⁶³ CWS agreed to maintain a deputy level review of requests for the extension of an investigation through December 2019 but continued reviews beyond that date.

CWS continued to staff the hotline/intake after business hours through a rotational system

Virtually all calls to the CWS hotline, 99.5 percent (4,318 of 4,340), were immediately routed to a social worker. Less than one percent (22) of calls were initially routed to an answering service. CWS reports there is indication that 15 of the 22 calls were likely SPAM, as there was no caller on the line when answered. For the seven other calls, the answering service collected information to relay to a social worker.

A supervisor and two social workers rotate working an extra shift to staff the agency's after-hours response. One social worker answers the phone, and another responds in-person, if needed. Social workers are expected to earn a minimum number of points by working after-hours shifts each month.

CWS reports receiving 4,340 calls at the hotline from March 1, 2020 through August 31, 2020. About 30 percent, 1,262 of the 4,340 calls were regarding suspected abuse and/or neglect.⁶⁴ The monthly number of reports of suspected abuse and/or neglect to CWS declined significantly from March 2020 (243 reports) to April 2020 (182 reports). Sixty-nine percent (868) of the 1,262 reports were “evaluated out” by CWS, deemed as not reaching the legal threshold for an investigation or containing allegations already under investigation by CWS. The agency reports, based on information provided at the hotline, referring 128 families with an evaluated out report to a Family Resource Center which provides direct services, case management, resources, and referrals. Of those referred, three families declined services and 34 families became involved with a Family Resource Center.⁶⁵

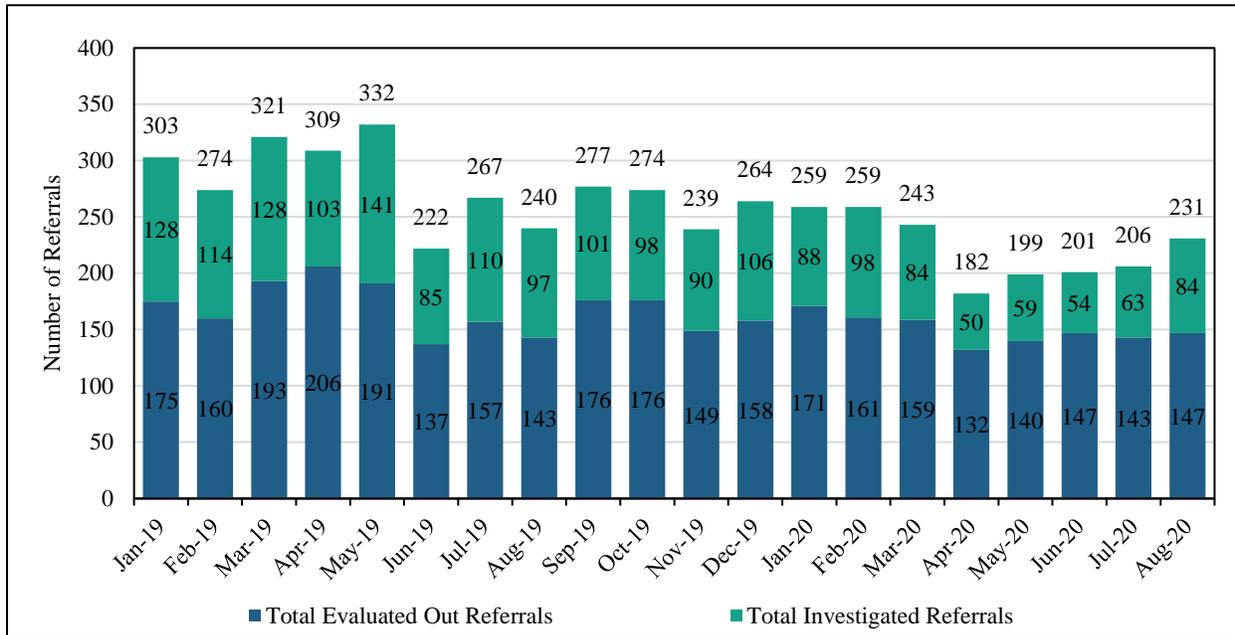
The remaining 394 reports were assigned for investigation and the overwhelming majority, seventy-nine percent (313) of the reports required a social worker to respond within 3, 5 or 10 days. The remaining 21 percent (81) of the 394 reports assigned for investigation were deemed to warrant an immediate response from a social worker.

Figure 4 below shows the number of child abuse and neglect reports CWS received over a longer period, January 2019 to August 2020. The number of reports not assigned to a social worker for investigation or “evaluated-out” and the number of reports assigned to a social worker for investigation each month are also shown.

⁶⁴ This is a count of discrete reports which could reflect multiple reports about the same family, child, or even the same allegations. When CWS receives a report meeting criterion for investigation and containing the same allegations of an investigation already in progress, the new reports is given a number but added to the open investigation, as opposed to creating another investigation.

⁶⁵ Humboldt Network of Family Resource Centers: <https://www.hnfrc.org/home>

**Figure 4: CWS Reports of Suspected Child Abuse and/or Neglect
Received, Evaluated Out, or Assigned for Investigation
January 2019 to August 2020
N=5,103**



Source: Humboldt County CWS

CWS Cross-reporting

CWS social worker screeners electronically send cross reports and data to law enforcement systems. CWS reports sending 889 cross reports (representing 842 referrals) to law enforcement from March 1, 2020 to August 31, 2020, most to local law enforcement.⁶⁶ Table 1 below shows the number and percent of reports made to local law enforcement agencies.⁶⁷ CWS also sent 49 reports to other counties in California and other states.

⁶⁶ Some referrals were cross reported to more than one agency.

⁶⁷ CWS and HCSO have agreed that CWS will forward all reports labeled child abuse and/or severe neglect to HCSO.

Table 1: CWS Cross Reports to Local Law Enforcement
March 1, 2020 – August 31, 2020
N=840*

Receiving Agency	Number and Percent of Reports
Humboldt County Sheriff's Office	463 (56%)
Eureka Police Department	207 (25%)
Fortuna Police Department	79 (9%)
Arcata Police Department	57 (7%)
Rio Dell Police Department	23 (3%)
Hoopa Valley Tribal Police Department	5 (<1%)
Ferndale Police Department	5 (<1%)
Yurok Tribal Police Department	1 (<1%)

Source: Humboldt County CWS

*CWS sent reports to multiple agencies.

CSSP recommended that CWS standardize expectations and practices across supervisors at intake and take steps to increase consistency of responses to calls to the hotline. Goals of these actions are to better support the work of all CWS social workers and supervisors since they are all expected to perform intake tasks.⁶⁸ CWS states that a supervisor reviews every referral completed by a screener, with a goal of increasing the skills of social workers, and that supervisors across CWS also meet monthly to conduct a joint case review on a selected referral.

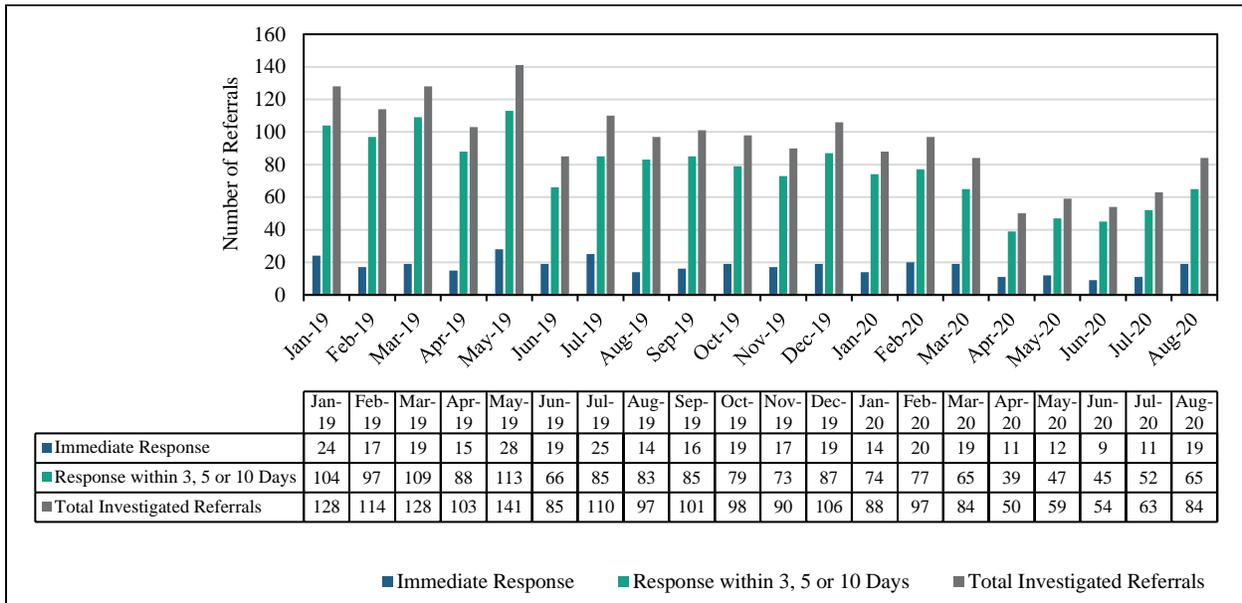
The number of reports to CWS and number of CWS investigations declined

The number of monthly referrals to CWS for investigation declined significantly from March 2020 (84 referrals) to April 2020 (50 referrals). This decline is consistent with declines seen nationwide at the onset of the pandemic. CWS intake determined that the overwhelming majority, (313 or 79%) of the 394 reports assigned for investigation from March 1, 2020 to August 31, 2020, required a social worker to respond within 3, 5 or 10 days; the remaining 21 percent (81) of the 394 reports were deemed to warrant an immediate response from CWS.

Figure 5 below shows the CWS assigned response times for CWS investigations from January 2019 to August 31, 2020 showing the percentage of reports CWS assigned for investigation has remained stable over time.

⁶⁸ A CWS dedicated supervisor for intake rotates responsibility with investigations supervisor during daytime hours and with supervisors across CWS during after-hours or on-call.

**Figure 5: Assigned Response Times for CWS Investigations
January 2019 - August 2020**



Source: Humboldt County CWS

According to CWS data, each month from March 1, 2020 to August 31, 2020, CWS met the response time designated at the hotline for a range of 86 to 94 percent of investigations. There was a timely response in 93 percent (75 of 81) of investigations requiring an immediate response; 95 percent (21 of 22) of investigations requiring a response within three or five days; and a timely response for 89 percent (259 of 291) of investigations requiring a response within 10 days. CWS has been tracking performance on this practice with weekly reports distributed to the Director, administrative and supervisory staff.

CWS has taken a step to strengthen safety planning during investigations and in-home cases

The prenatal, birth, and short life experiences of a Humboldt County infant who died in June 2020, presented as very similar to two other Humboldt County infants who died from June 2018 to May 2020 during involvement with CWS.⁶⁹ Data from CWS records of the families supported the need to continue addressing issues with safety plans and related practices.⁷⁰ This understanding prompted the CWS Director to increase tracking of and focus on plans made by CWS staff to keep children safe. Initial planning included adding a second supervisor to the social worker’s discussion with their supervisor regarding development of a plan to address threats to a child’s safety. This is intended to increase the focus on assessing whether a threat to a child’s safety has been addressed by a safety plan and it is one of the most impactful decisions CWS makes. Best practice suggests the decision, which is linked to whether a child remains with their caregivers,

⁶⁹ The death of one of these infants was due to neglect.

⁷⁰ Evident Change identified needs for improved safety assessment and planning in cases involving domestic violence in 2019.

should involve family members as well as staff who are not directly involved with a case. The addition of staff to planning and decision-making conversations should be regarded as shared accountability, additional support to social workers and supervisors, and an opportunity to exercise and expand critical thinking at a most critical decision point.

HCSO and confidential information received from CWS about families

Most reports to child protection sent to law enforcement do not in fact warrant a response from law enforcement. Most reports are for child neglect and across the country, child protection systems substantiate allegations of physical or sexual abuse in less than eleven and seven percent of investigations respectively.⁷¹ Further, standards for criminal abuse and neglect are higher than for child protective services involvement with a family.

As required by California law, CWS notifies or sends a cross report to HCSO about reports alleging physical, sexual, or emotional abuse. CWS also sends historical information about families to HCSO when making a cross-report. Most of these reports do not, by law, require a response by law enforcement nor does law enforcement act on many of these reports. However, as a result of the cross-reporting, otherwise protected, historical information about the family, household members, relatives, and others, remains accessible in HCSO's records management system. HCSO states the applicable CWS records cannot be purged from the electronic system. Since the historical CWS records are not connected to an HCSO case and no deputy has responded, HCSO cannot use the option of a case view restriction to protect the information. HCSO's expectation however is that those who access the records system will not access or review these records. HCSO also reports being able to identify a user that views a record.

HCSO forwarded reports to other law enforcement agencies

HCSO reports receiving 40 reports of child abuse from March to September 2020 which fell outside of their jurisdiction. Twenty-eight of these reports were immediately routed electronically to other local law enforcement agencies with jurisdiction. HCSO dispatchers send reports to the Arcata, Eureka, and Fortuna Police Departments. The Fortuna Police Department serves as dispatch for the Ferndale and Rio Dell Police Departments. Other actions taken include taking an initial report, conducting an in-person response, and in each instance, forwarding the report to the proper jurisdiction for initial or further investigation.

⁷¹ A January 2020 report from the Children's Bureau of the federal government's Administration for Children and Families, cites 10.7 percent of children were found to be physically abused and 7 percent were found to be sexually abused, based on nationwide child protection administrative data from July 1, 2017 to July 30, 2018; rates are higher for infants and young children: <https://www.acf.hhs.gov/media/press/2020/child-abuse-neglect-data-released>

HCSO gained staff from continuous recruitment

As of August 31, 2020, five HCSO deputy positions were vacant. Included in staffing are 12 deputy Sheriff Recruits who are in field training and six Recruits scheduled to graduate from the Academy in mid-December 2020.

E. Revision of Policies and Procedures

In the first years of the Judgment, CWS substantially revised policies and procedures, disseminated the new policies and trained staff. While monitoring and reporting on policy and procedure development, distribution, and training, CSSP initially noted on the Table of Corrective Actions (Section V) that CWS had completed developing, updating, and sharing policies. Steps to ensure compliance, as required by the Judgment, had not yet been taken. Planned fidelity tools had not been developed and implemented and there were concerning reports of expectations not followed. The steps to create and apply fidelity measures for policy implementation and develop processes to assess performance on policy mandates have not yet been completed. CWS does not yet have the capacity to report on performance of practices with respect to its policy and procedure expectations. That capacity is critical to understanding the extent to which expectations are being achieved and what is needed to sustain and/or meet the goals and requirements of the Judgment.

A critical function for CWS is ensuring that staff are adhering to the policies and procedures with fidelity and positive outcomes. For the previous monitoring period, CWS reported plans to embed the development of fidelity measures and record review tools for new policies and procedures in the CQI program to identify gaps, and/or any areas requiring clarification or strengthening. A manager has been hired, as planned and full implementation for the CQI program is expected by February 2021.

CSSP continues to work with CWS and Evident Change to finalize a plan to perform secondary SDM[®] case readings of those completed by supervisors, in order to provide a qualitative overview of CWS' status in documentation of safety and risk assessment practices in case records, including SDM[®] assessments. A separate survey instrument to capture additional required practices, related to the Judgment will have to be developed. CSSP, CWS, and Evident Change planned for reviews, originally expected to be completed in the fall of 2020. Conversations about the plan and timeline for such reviews are ongoing.

The CWS CQI program is in early development

The creation of a CQI program is a goal included in CWS' Systems Improvement Plan, which addresses the entirety of the CWS system.⁷² There are also corrective actions of the Judgment which require CWS to *ensure* certain practices occur (Judgment Sections 3.C., E., R., S., and X.) and to *create processes* to understand, sustain, and improve practices and system functions

⁷² <https://humboldt.gov/AgendaCenter/ViewFile/Minutes/08192020-1685>

(Judgment Sections 3.H., BB.(1) and CC.(2), (4) and (5), emphases added.). Doing so will require a fully implemented CQI system, including involvement of CWS staff and others, as CSSP has recommended in prior monitoring reports.

CWS is moving ahead with the work to build a CQI program which will track and analyze systems and practices related to new, updated, and existing policies. The program will also be responsible for other related state requirements, such as the California-Child and Family Services Review.⁷³ A deputy Director and senior analyst have been assigned to the CQI program, and CWS hired a CQI program manager who began work in September 2020. These are important and encouraging steps which, along with the work described below, CWS' states is a reflection of the commitment to CQI.

CWS is also developing capacity to use data for management and to build continuous quality improvement processes. Currently, the CWS CQI program is tracking, reporting, and identifying quality improvement activities based on several data elements related to the C-CFSR indicators, hotline calls, SDM[®], cross reports to law enforcement, timeliness of investigation documentation and completion, staff vacancy rates, federal case reviews, supervised visitation, and feedback to mandated reporters. CWS analysts have met with staff to improve the staffs' understanding of Safe Measures and how the system may help improve their capacity to track their own work. Analysts also continued to work with Evident Change to improve their own analytic skills. Processes to share data with and receive feedback from staff, Tribes, and community stakeholders still need to be developed. The sequencing of the tasks to be undertaken by this small team is also under development and full-scale implementation of the CWS CQI program is expected by February 2021.

In the last monitoring report, CSSP reported on its plans to collaborate with CWS and Evident Change to conduct a review of intake and investigations records and report on results. Planning for implementation in October 2020 is impacted by the pandemic, building a leadership and managerial team, shifting programs, as well as other competing demands on CWS staff. CWS currently reports not being able to contribute staff resources or participate in any substantive way in the review of a statistically valid sample of reports and investigations. It is important that the agency participates in building, conducting, analyzing, and acting upon the results of such a review in order to fulfill requirements of the Judgment. A goal for the process is to avoid a wholly external review by the Compliance Monitor while informing progress in ensuring the expected practices of the Judgment.

⁷³ <https://www.cdss.ca.gov/inforesources/child-welfare-program-improvement/child-and-family-services-review>

F. Complaint System

CWS and HCSO created complaint procedures with timeframes for handling complaints submitted both formally and informally, in writing and orally, in response to the Judgment.⁷⁴ In April 2018, CWS implemented an Ombudsperson's Office. DHHS conducted a systems review of the Ombudsperson's Office to understand the effectiveness of its structure and functioning and issued a draft report in November 2019.

CWS' Ombudsperson's Office continued to take action on complaints

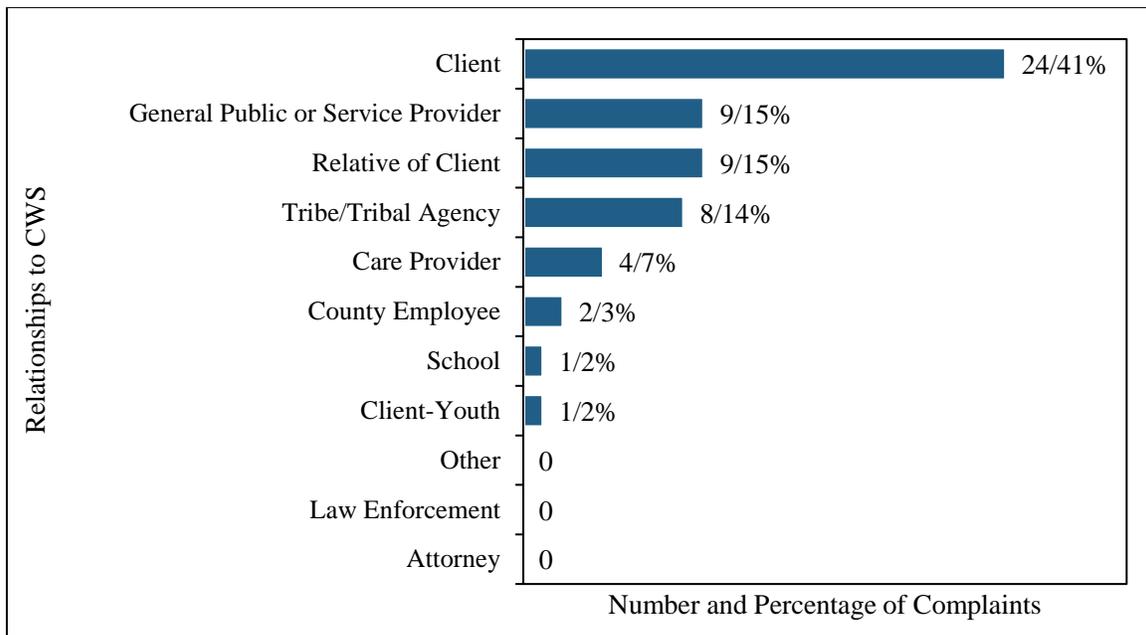
Data provided to CSSP by CWS indicate that the Ombudsperson's Office began 58 inquiries in response to complaints received from March 1, 2020 to August 31, 2020. During the same period in 2019, CWS reported receiving 110 complaints. The Ombudsperson's Office reports determining that 15 of the 58 complainants required only information shared by the Office; determining that six complainants were not applicable to the CWS Ombudsperson's Office; and being unable to contact five additional complainants to gather necessary information.

The Ombudsperson's Office determined that 19 (60%) of the remaining 32 complainants reported concerns that were founded (13) or partially founded (6) and that the concerns reported by 13 (40%) of the complainants were unfounded upon the Office's investigation.

Complaints were primarily about the quality of, or disagreements about, service delivery and complainants were clients, the general public, service providers, Tribal representatives and relatives of a CWS client. CSSP has not conducted further review of these data. The figure below shows the complainant affiliations.

⁷⁴ Judgment Sections 3.GG. and HH.

Figure 6: CWS Ombudsperson Complainant Affiliation
March 2020 – August 2020
N=58



Source: Humboldt County CWS

CWS met with staff of DHHS’ Quality Management Services who had conducted a review of the Ombudsperson’s Office and issued a report with recommendations in a report dated November 2018. The Ombudsperson’s Office continues to be staffed by a supervisory level social worker and is now housed within CWS’ CQI program.⁷⁵ CWS reports acting upon several of the recommendations to improve the Ombudsperson’s Office including clarifying the role of the Ombudsperson; standardizing multiple processes within the Office; and creating a formal complaint closure process. CWS also met with CA’s Foster Care Ombudsperson to gather additional information on processes and tools, including the database used for complaint tracking.

CWS leadership and CSSP received complaints from stakeholders who are not contacting the Ombudsperson’s Office for relief. CSSP accepts information about complaints and encourages complainants to use the Ombudsperson’s office, as agreed to with CWS and DHHS.

HCSO continued to track complaints related to CANRA

The HCSO 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.

⁷⁵ Judgment, Section 3.GG.

HCSO reports receiving 147 calls or persons visiting their office from March 1, 2020 to August 31, 2020 with a complaint. Three of the complaints involved a case related to CANRA. According to HCSO, each of the complaints had been addressed and resolved. CSSP reviewed HCSO documentation of the complaints and applicable related case document and determined agreement with the resolution of each complaint.

IV. Discussion and Recommendations

As is described in this report, there have been real and positive changes in Humboldt County's child protection system since the entering of the Judgment. There are also incomplete actions in some areas and concern about sustainability due to accountability systems that are only beginning to be put in place. CWS' current efforts to build a leadership team; build CQI systems; and provide resources to enhance the skills and stability of the workforce are being made with goals of positioning the agency to implement the outstanding corrective actions and sustain changes made in response to the Judgment. These building blocks are centered on quality assurance, quality improvement, and accountability systems. CWS is also working to build an ICWA program as part of an ongoing effort to improve relationships, trust, and practices with its Tribal partners which have been problematic for multiple years. Based on CSSP's current understanding of CWS' status, performance of outstanding corrective actions may not occur by February 13, 2021, the timeframe expected by the Judgment.

Overarching themes of this report and recommendations made in CSSP's June 2020 report, relate to the ongoing need for CWS to purposefully gathering data about practice, including about implementation of policies and procedures; using that information to further understand, communicate, and improve work with children, families, and their supporters; and clearly and consistently communicating policy and practice expectations and relevant performance data to staff and other stakeholders. The CQI program currently under development must not only have the capacity to collect and analyze quantitative data but must be able to go beyond numbers - often in partnership with or seeking further information from others who are impacted - to systematically understand the quality of the work with on behalf of children and families and stakeholders.

There were a high number of CWS investigations for which there was either no request for an extension of the investigation timeframe or an extension request submitted beyond the CWS set deadline but still approved by a supervisor. This reflects further challenges to building systems of accountability. These are examples of the challenges to building systems of accountability, as a goal of the extension request process is to anticipate and understand barriers and act proactively to resolve them.

The work with Tribal nations is continuing. A specialized program should help to reduce inconsistencies in working with Tribes. CWS, the CWS Tribal Consultant, and DHHS leadership intend to continue conversations with Tribes to develop protocols. This is important since collaboration with Tribes should be evident at all levels of the systems.

In the December 2019 monitoring report, CSSP made recommendations intended to assist CWS and HCSO in completing corrective actions required by the Judgment. Appendix A of the June 2020 report contained updates on progress with respect to those recommendations. CSSP included additional recommendations to achieve corrective actions in the June 2020 monitoring report.

Specifically, the second recommendation: *Identify strategies to support social workers, families, and their supporters in implementing plans to keep children, especially infants and young children, safely with their parents or family members*, relates to CWS' response to practice and system concerns which were identified in the CWS case records related to infants who died over a 2-year period. The cases showed difficulties of planning for newborns and infants whose primary caregiver is a polysubstance user. In response, CWS increased oversight of safety planning to reflect the importance of the process of safety planning requirements and interventions, as well as shared accountability with and support for frontline staff. Staff must have both the skills and resources needed to engage in these activities with Tribal Social Services and others. Families in Humboldt County must have timely access to the resources needed to safely care for children, especially younger children.

The June 2020 recommendations to achieve Corrective Actions are below with updates on the status of implementation as of this report. Several updates are followed by CSSP's response.

To improve functioning of the hotline, CWS should:

1. Standardize expectations and practices across supervisors at intake.⁷⁶

Subsequent tracking of performance against those expectations, feedback to staff from supervisors about their work, and taking actions needed for individual and/or systemic improvements are steps to increase consistency at the hotline, support the function of all supervisors, and the social workers who screen reports.

Update: CWS states that a supervisor reviews every referral completed by a screener, with a goal of increasing the skills of social workers, and that supervisors meet monthly to conduct a joint case review on a selected referral. Data from these supervisory reviews will be shared with staff in aggregate and individually, as needed.

⁷⁶ CWS maintains a daily rotation of investigators into the role of supervisor at intake. Those and other supervisors also work as supervisors after hours. There is increased room for variability at this decision-making point.

CSSP's response: This recommendation referred to increased clarification of intake policies, a related Judgment requirement, across supervisors so that guidance to social workers, who experience multiple supervisors while performing intake functions, would be consistent and further standardized.

CWS supervisors communicate directly with social workers about changes made to intake documents completed by the social worker. This should be done for all social workers, including those who work after hours. Further, CWS intends to share aggregate data from joint supervisory review of documents. These are important first steps towards the goals of understanding actions that need to be taken to sustain or improve practices; taking those actions; and repeating a review cycle.

To improve communication, adherence to law and policy, and its relationship with Tribes, CWS should:

- 2. Identify strategies to support social workers, families, and their supporters in implementing plans to keep children, especially infants and young children, safely with their parents or family members.** This includes providing staff and families with the expertise and resources needed for efforts to address threats to a child's safety and to conduct safety and risk assessment both in practice and the use of SDM[®] assessments.

Update: CWS requires that a child's social worker and supervisor consult with a second supervisor when making the decision for a child to remain in a situation which presents a threat to the child's safety and is being addressed with a Safety Plan.

CSSP response: Originally, in planning discussions CWS had indicated consideration of additional County resources to help social workers serve infants, young children, and their parents. CSSP has no further information about the status of this initiative.

- 3. Take actions to better understand and address practices across investigations and cases of all families, not just Tribal, on systemic and individual case levels.** There remain considerable legitimate concerns across Tribes about the inconsistent adherence to policy and procedures in screening; collaborating during investigations; making determinations and decisions on next steps post-investigations; safety planning; and reducing risk and assuring safety in open cases.

Update: This is planned work for the newly formed CQI program. The work will include electronic Intake and Investigations tools for gathering data and a dashboard

with aggregated data from SDM[®] case reviews by supervisors for discussion during monthly TA calls with Evident Change.

CSSP's response: CSSP continues to recommend applying a qualitative case record review instrument to a representative sample of all intake and investigation records to establish a baseline understanding from documentation of implementation of requirements of the Judgment, most of which apply to all children and families.

- 4. Develop agreements for joint training of CWS and Tribal Social Services staff who complete SDM[®] assessments together, as well as joint technical assistance sessions with Evident Change.** A shared understanding of how to complete the assessments and engage in related practices are essential for collaborative work on behalf of children and families.⁷⁷

Update: At the end of this monitoring period, CWS and Evident Change discussed including Tribal Social Services staff in Evident Change TA sessions with CWS. There had been discussion about joint training sessions involving Tribal and CWS staff, as well as discussion of whether Tribal staff should participate in training supported by the State.

CSSP response: No implementation date is set for either joint/CWS-Tribal Social Services social worker TA or training with Evident Change or participation by Tribal Social Services social workers staff in training supported by the State.

To create a learning environment and increase accountability, CWS should:

- 5. CWS should publish select performance data on the county's website.** This is both a way to recognize success and communicate about areas needing improvement.

Update: CWS shares data and progress reports on the county's site, including data shared at Community Task Force meetings.

CSSP's response: Community Task Force members have requested the creation of a formal CQI subcommittee of the Community Task Force; this request has not been acted upon. While data are useful, data tailored to an audience, coupled with engaged conversation about the data and their meaning are most useful to all.

⁷⁷ Judgment, Sections 3.BB (1)c; (2)c.; CC.(2); and CC(6).

**V. Summary Table of Performance on All Corrective Actions Required by Judgment
THE PEOPLE OF THE STATE OF CALIFORNIA v HUMBOLDT COUNTY'S
DEPARTMENT OF HEALTH AND HUMAN SERVICES AND HUMBOLDT COUNTY'S SHERIFF'S OFFICE**

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
Memorandum of Understanding ("MOU") and Inter-Agency Coordination						
3. 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.	May 14, 2018, extended to June 25, 2018 by the Office of the Attorney General per formal written request made by CWS	A. (1) Partially Completed CWS circulated policy and procedures on cross reporting on 5/9/2018. CWS expects to finalize Intake policy by 10/12/2018. CWS circulated the MOU to staff 2/15/2018.	A. (1) Completed policy revision CWS circulated Intake policy to staff on 10/12/2018.			
A. (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.	March 16, 2018	A. (2) HCSO Completed policy revision 3/14/18 Policies and procedures and MOU circulated to staff 3/14/2018.				

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
Child Abuse Services Team (CAST) Protocol and Collaborative Processes						
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. (Defendants had indicated that a revised CAST protocol would be finalized by the Protocol Subcommittee by December 31, 2017.) Defendants shall provide the Attorney General's Office with a copy of the final CAST protocol within seven days of entry of this Judgment.	Ongoing	B. Completed CWS and HCSO continue to be invited to and participate in the Humboldt County CAST Advisory Board and Protocol Subcommittee. The Humboldt County DA's Office did not finalize the CAST protocol within seven days of the judgment.	B. Completed Defendants are invited to participate in the Humboldt County CAST Advisory Board. The Humboldt County District Attorney's Office has not held Protocol Subcommittee meetings during this period.	B. Completed Defendants are invited to participate in the Humboldt County CAST Advisory Board. The Humboldt County District Attorney's Office has not held Protocol Subcommittee meetings during this period.	B. Completed Defendants are invited to participate in the Humboldt County CAST Advisory Board. The Humboldt County District Attorney's Office held one Protocol Subcommittee meetings on 2/19/2020 with CWS and HCSO present.	B. Completed Defendants are invited to and participate in the Humboldt County CAST Advisory Board which continues to meet monthly. Humboldt County DA's Office released the updated CAST Protocol on May 1, 2020, final signatures are dated July 2020..
B. If the CAST protocol was not finalized by December 31, 2017, Defendants shall provide a good-faith estimate for completion within seven days of entry of this Judgment and provide a copy of the final CAST protocol within seven days of completion for review.	February 20, 2018	B. Not completed The CAST protocol has not yet been finalized by the Humboldt County District Attorney's CAST Advisory Board. ⁷⁸	B. Not completed The Humboldt County District Attorney's Office has not finalized the CAST protocol.	B. Not completed The Humboldt County District Attorney's Office reported to HCSO that the protocol is finalized except for signature(s) from Tribes.	B. Not completed The Humboldt County District Attorney's Office reported protocols or MOUs require addendum and agreement from each Tribe.	B. Completed May 1, 2020 The CAST protocol is final. Addendums from Tribes may be added.
B. If the CAST protocol is not finalized within six months of the entry of Judgment, Defendants shall meet and confer with the Attorney General's Office to discuss the status	August 13, 2018	B. Completed CWS has developed a protocol for accessing CAST while awaiting a final	B. Not completed CWS and HCSO have been in communication with the AG regarding	B. Not completed The Humboldt County DA's Office has not finalized the CAST protocol and	B. Not Completed Following a meeting between the DA and CA AG on February 14, 2018, the	B. Completed May 1, 2020 The CAST protocol is final as of May 1, 2020

⁷⁸ Text updated from first report to reflect that Humboldt County's DA's Office is responsible for finalization of the protocol.

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
of the protocol, timeframe for completion, and additional steps Defendants can take to address coordination of CAST interviews to the extent any are needed.		protocol. Defendants have conferred with the CA AG. ⁷⁹	the status of the protocol, timeframe for completion, and the steps CWS is taking to coordinate CAST interviews while without a finalized CAST protocol.	reports to HCSO requiring signatures from Tribes. <i>See Recommendation 9: Work with partners to finalize and implement the CAST protocol/MOU by the end of February 2020.</i>	Humboldt County DA's Office met HCSO, CWS, CWS' Tribal Consultant, and members of the CAST subcommittee to discuss addendums needed from each Tribe to accompany the protocol. This work was to be completed by April 2020 and was delayed due to the pandemic.	with signatures dated July 2020.
C. Defendant CWS and the Mental Health division of DHHS are currently developing an inter-agency collaboration protocol to ensure that staff from the divisions coordinate the provision of mental health and child welfare services. The protocol shall address the sharing of confidential information between the divisions and include revised processes to ensure timely assessments of children in protective custody. CWS has also created procedures to address the sharing of information among other agencies and entities that are a part of a multidisciplinary team, including, but not limited to, medical personnel, law enforcement officers, school	March 16, 2018	C. Completed protocol 3/16/18 CWS and Communication with Children's Mental Health/CMH Policy and Procedure and Mental Health Screening Tool (MHST) and Request for Access to Services Policy and Procedure. CWS and CMH developed an agreement for a	C. Implementation Incomplete No system-wide data are available on CWS ensuring coordination of mental health services.	C. Implementation Incomplete No system-wide data are available on CWS ensuring coordination of mental health services and other community-based services. Anecdotally, there have been complaints about a lack of coordination and delays accessing appropriate services, especially for adolescents	C. Implementation Incomplete No system-wide data are available on CWS ensuring coordination of mental health and child welfare services.	C. Implementation Incomplete No system-wide data are available on CWS ensuring coordination of mental health and child welfare services.

⁷⁹ First report read "Not Completed"

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
district employees, and 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.		multi-disciplinary team (MDT).		presenting with elevation risk of harm to themselves.		
Implementation of New Emergency Response System and Revision of Policies and Procedures by Defendant CWS						
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.	June 14, 2018, extended to June 25, 2018 by the Office of the Attorney General per formal written request made by CWS	D. Completed CWS updated and circulated polices on 6/26/2018.				
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	June 14, 2018, extended to June 25, 2018	E. Completed policy development CWS developed Policy and Procedure on Mandated Reporter and circulated to staff on 6/26/2018		E. Implementation Incomplete Social workers are aware of this policy. CWS reports during this period there were 33 reports regarding children in out-of-home care, 21 were evaluated	E. Implementation Incomplete Social workers are aware of this policy. CWS reports during this period there were 39 reports regarding children in out-of-home care, 20 were evaluated out and 19	E. Implementation Incomplete Social workers are aware of this policy. CWS reports during this period there were 28 reports regarding children in out-of-home care, 15 were evaluated out and 13

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
facilities, and the Welfare & Institutions Code and Division 31 regulations.		CWS developed Policy and Procedure on Reports on Open Investigations or Cases and circulated to staff on 6/26/2018.		<p>out and 12 were assigned for investigation.</p> <p>CWS has not taken steps to review and ensure this practice.</p> <p><i>See Recommendation 10: Work diligently to eliminate legal and policy violations and ensure consistent adherence to policy mandates in all practices.</i></p>	<p>were assigned for investigation.</p> <p>CWS has not taken steps to review and ensure this practice.</p>	<p>were assigned for investigation.</p> <p>CWS has not taken steps to review and ensure this practice.</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.	March 15, 2018 and ongoing	F. Completed 3/16/2018	F. Maintained	F. Maintained	F. Maintained	F. Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
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.	June 14, 2018 and ongoing	G. Completed 6/4/2018 CWS has fully transitioned to an electronic data entry system for intake. Social worker screeners enter information, including on the Web SDM [®] assessment tool in CMS.	G. Maintained	G. Maintained <i>See Recommendation 3. Have managers perform QA reviews on a set number of intake reports each month.</i>	G. Maintained Managers are beginning to perform QA reviews on a set number of intake reports each month.	G. Maintained
H. CWS shall ensure timely cross-reporting to law enforcement agencies and the District Attorney's ("DA") office.	June 14, 2018 and ongoing	H. Completed 6/4/2018 Cross reporting during business hours as of 3/29/18: 1,046 reports sent to law enforcement agencies and the DA's office through 8/31/18.	H. Maintained CWS sent 981 cross-reports sent to law enforcement agencies and the DA's office Ongoing quality improvement is needed to avoid duplication of cross-reports.	H. Maintained CWS sent 1,055 cross-reports to law enforcement agencies and the DA's office. Ongoing quality improvement is needed to avoid duplication of cross-reports.	H. Maintained CWS sent 985 cross-reports to law enforcement agencies and the DA's office. Ongoing quality improvement is needed to avoid duplication of cross-reports and make sure each report is received and properly assigned.	G. Maintained CWS sent 889 cross-reports to law enforcement agencies and the DA's office. Ongoing quality improvement is needed to avoid duplication of cross-reports and make sure each report is received and properly assigned.
H. (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	June 14, 2018 and ongoing	H. (1) Completed 6/4/2018 CWS implemented a system for immediate electronic cross reporting of reports	H. (1) Maintained	H. (1) Maintained See above.	H. (1) Maintained See above.	H. (1) Maintained See above.

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
Office or other appropriate law enforcement agency and make a follow up written report as required by CANRA.		of abuse and/or severe neglect to the DA's Office, Sheriff's Office and other law enforcement agencies.				
H. (2) CWS shall make cross-reports to the DA's office in accordance with Penal Code section 11166, subdivision (j).	June 14, 2018 and ongoing	H. (2) Completed 6/4/2018 CWS' electronic cross reporting system automatically sends a copy of cross reports to law enforcement to the Humboldt County DA's Office.	H. (2) Maintained	H. (2) Maintained	H. (2) Maintained	H. (2) Maintained
H. (3) The social worker shall document in (CWS/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.	June 14, 2018 and ongoing	H. (3) Completed 6/4/2018 CWS' electronic cross reporting system automatically sends a copy of cross reports to law enforcement to the Humboldt County DA's Office.	H. (3) Maintained	H. (3) Maintained	H. (3) Maintained	H. (3) Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
H. (4) On a weekly basis, a supervisor shall review all reports to ensure that timely cross-reporting has been completed.	June 14, 2018 and ongoing	H. (4) Completed 4/23/2018 A CWS program manager reviews all cross reports for timeliness.	H. (4) Maintained	H. (4) Maintained	H. (4) Maintained	H. (4) Maintained
H. (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 and ongoing	H. (5) Completed policy development 6/4/2018 CWS' CWS/CMS system captures data the investigator enters regarding contact with the Sheriff's Office.	H. (5) Implementation Incomplete QA steps are needed to ensure these practices.	H. (5) Maintained QA steps are needed to ensure these practices. CSSP will collect data and report on joint response practice in the subsequent report.	H. (5) Maintained QA steps are needed to ensure these practices. CSSP reviewed HCSO reports to CWS for January 2020. CWS informed HCSO through the cross-reporting system whether an HCSO report would be investigated. For the 5 reports assigned for investigation, CWS did not contact HCSO nor document that a joint response was not necessary.	H. (5) Maintained QA steps are needed to ensure these practices.
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 and ongoing	I. Completed 3/29/2018 CWS reports not refusing to handle reports, including those which fall	I. Maintained	I. Maintained	I. Maintained	I. Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
		outside its geographical jurisdiction.				
I. (1) For reports that fall outside CWS's geographical jurisdiction, CWS shall: I. (1) a. Immediately electronically transfer the call to the appropriate agency; or I. (1) 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 and ongoing	I. (1) a.-b. Completed 3/29/2018 CWS transfers calls to appropriate agencies or sent reports by phone, fax, or electronic transmission to the appropriate agency.	I. (1) a.-b. Maintained			
I. (2) For cross-reports that come from the Sheriff's Office or any agency that falls outside CWS's geographical jurisdiction, CWS shall: I. (2) 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 I. (2) 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.	June 14, 2018 and ongoing	I. (2) a.-b. Completed 3/29/2018 CWS reports immediate transfer of out of jurisdiction reports and calling reporting agency to inform of actions.	I. (2) a.-b. Maintained			

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
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.						
J. (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 www.cclss.ca.gov/lettersnotices/entres/getinfo/acl05/pclf/05-09.pdf	June 14, 2018, extended to June 25, 2018 by the Office of the Attorney General per written request made by CWS	J. (1) Completed 6/26/2018 CWS 09-09 Emergency Response. Title: Reports on Open Investigations or Cases circulated to staff.				
J. (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	June 14, 2018, extended to June 25, 2018 by the Office of the Attorney General per written request made by CWS	J. (2) Completed 6/26/2018 CWS 09-09 Emergency Response. Title: Reports on Open Investigations or Cases was circulated to staff on 6/26/2018.				

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
J. (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.).	June 14, 2018, extended to June 25, 2018 by the Office of the Attorney General per written request made by CWS	J. (3) Completed 6/26/18 CWS 09-09 Emergency Response. Title: Reports on Open Investigations or Cases was circulated to staff on 6/26/2018.				
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 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	June 14, 2018, extended to June 25, 2018 by the Office of the Attorney General per written request made by CWS.	K. Partially Completed CWS developed Intake policy and procedures and circulated to staff on 6/26/2018. CWS expects to circulate Investigations policy and procedures by 12/14/2018.	K. Completed policy development Implementation Incomplete CWS 18-20 Investigations policy and procedures was distributed on 12/14/2018. Steps are needed to verify adherence to policy.	K. Implementation Incomplete Steps are needed to verify adherence to policy. Tribes are not being routinely contacted as required to contribute to evaluations during intake and investigations.	K. Implementation Incomplete Steps are needed to verify adherence to policy. Tribes are not being routinely contacted as required to contribute to evaluations during intake and investigations. CWS has committed to creating an ICWA program, including CQI measures, to address concerns and improve collaboration with Tribes.	K. Implementation Incomplete Steps are needed to verify adherence to policy. Tribes are not being routinely contacted as required to contribute to evaluations during intake and investigations. CWS has begun meeting with Tribal representatives to create an ICWA program.

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>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/acin/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 telephone, the social worker shall document the time and date of the communication.</p>	<p>June 14, 2018, extended to June 25, 2018 by the Office of the Attorney General per written request made by CWS</p>	<p>L. Completed 6/26/2018 CWS circulated Mandated Reporter policy and procedures; informing mandated reporters of the status of a referral will also be addressed in the Investigations policy expected to be circulated by 12/14/2018.</p>	<p>L. Completed CWS 18-20 Investigations policy and procedures on 12/14/2018.</p>	<p>L. Completed CWS documented sending a response for 1,214 (97%) of the 1,252 reports received from a mandated reporter: 1,207 written and seven telephone or in-person). For the additional 38 reports there was no documentation of a response.</p>	<p>L. Completed CWS documented generating a response for 99% of reports received from a mandated reporter.</p>	<p>L. Maintained CWS documented generating a response for 100% of reports received from a mandated reporter.</p>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<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 cases 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 plans and follow-up activities.</p>	<p>June 14, 2018</p>	<p>M. Completed training and policy development, 6/26/2018 CWS uses Child and Family Team meetings in their work with families on a regular basis. NCCD provided refresher training sessions on Child and Family Teams meetings and updated Policy and Procedure was created and distributed to staff on 6/26/2018.</p>	<p>M. Implementation Incomplete There are no data on assessment of implementation.</p>	<p>M. Implementation Incomplete There are no data on assessment of implementation.</p>	<p>M. Implementation Incomplete There are no data on assessment of implementation. CWS holds Child and Family Team meetings at a rate significantly lower than expected by policy. 392 CFT meetings were held for 368 cases.</p>	<p>M. Implementation Incomplete There are no data on assessment of implementation. CWS holds Child and Family Team meetings at a rate significantly lower than expected by policy. 393 CFT meetings were held for 338 cases.</p>
Tribal Collaboration						
<p>N. CWS shall revise its policies and procedures to ensure collaboration with and input relating to decision-making from tribes.</p>	<p>June 14, 2018, extended to August 24, 2018 by the Office of the Attorney General per request made by CWS.</p>	<p>N. Not Completed CWS began consultation with Tribes in June 2018 on policies and procedures requiring Tribal input and expects to (re) circulate policies and procedures by 12/31/2018.</p>	<p>N. Completed Policy Development; Implementation Incomplete CWS completed the process of gaining input on policies from Tribes on 11/30/2018. Efforts are needed to ensure expected practices.</p>	<p>N. Implementation Incomplete Efforts are needed to ensure expected practices. <i>See Recommendation 10: Work diligently to eliminate legal and policy violations and ensure consistent</i></p>	<p>N. Implementation Incomplete Efforts are needed to ensure expected practices. CWS supervisors are reviewing referrals for expected practices. <i>See 2019 Recommendation 10: Work diligently to</i></p>	<p>N. Implementation Incomplete Efforts are needed to ensure expected practices. CWS supervisors are reviewing referrals for expected practices. CWS and CSSP continue to receive valid complaints about</p>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
				<p><i>adherence to policy mandates in all practices.</i></p> <p><i>See Recommendation 12: Actively plan with Tribes for ICWA programming, as announced and promised.</i></p> <p><i>See Recommendation 13: Continue to work actively with the Tribal Consultant to negotiate Tribal protocols/MOUs.</i></p>	<p><i>eliminate legal and policy violations and ensure consistent adherence to policy mandates in all practices.</i></p> <p><i>See Recommendation 12: Actively plan with Tribes for ICWA programming, as announced and promised.</i></p> <p><i>See Recommendation 13: Continue to work actively with the Tribal Consultant to negotiate Tribal protocols/MOUs.</i></p>	<p>CWS failures to implement policies with Tribes during intake, investigations, and in-home cases.</p>
<p>N. (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 23-hours response is needed, in which case the screener shall contact the tribe immediately or as soon as practicably possible.</p>	<p>June 14, 2018, extended to August 24, 2018 by the Office of the Attorney General per request made by CWS.</p>	<p>N. (1) Not Completed Intake policy and procedures to be updated with Tribal input by 10/12/2018.</p>	<p>N. (1) Completed Policy Development; Implementation Incomplete CWS updated Intake policy and procedures with Tribal input. 10/12/2018. Efforts are needed to ensure expected practices.</p>	<p>N. (1) Implementation Incomplete Efforts are needed to ensure expected practices.</p> <p><i>See Recommendation 10: Work diligently to eliminate legal and policy violations and</i></p>	<p>N. (1) Implementation Incomplete</p>	<p>N. (1) Implementation Incomplete</p>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
				<p><i>ensure consistent adherence to policy mandates in all practices.</i></p> <p><i>See Recommendation 12: Actively plan with Tribes for ICWA programming, as announced and promised.</i></p> <p><i>See Recommendation 13: Continue to work actively with the Tribal Consultant to negotiate Tribal protocols/MOUs.</i></p>		
<p>N. (1) 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>June 14, 2018, extended to August 24, 2018 by the Office of the Attorney General per request made by CWS.</p>	<p>N. (1) a. Not Completed Intake policy and procedures to be updated with Tribal input by 10/12/2018.</p>	<p>N. (1) a. Completed Policy Development; Implementation Incomplete CWS updated Intake policy and procedures with Tribal input on 10/12/2018.</p>	<p>N. (1) a. Implementation Incomplete Efforts are needed to ensure expected practices.</p>	<p>N. (1) a. Implementation Incomplete Efforts are needed to ensure consistency in expected practices.</p>	<p>N. (1) a. Implementation Incomplete CWS reports that a supervisor reviews each referral or report to intake.</p> <p>Efforts are needed to ensure consistency in expected practices.</p>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
			Efforts are needed to ensure expected practices.			
N. (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.	June 14, 2018, extended to August 24, 2018 by the Office of the Attorney General per request made by CWS.	N. (2) Not Completed To be included in Investigation policy and procedures expected to be finalized by 12/31/2018.	N. (2) Completed Policy Development; Implementation Incomplete CWS updated Investigation policy and procedures with Tribal input. Efforts needed to ensure expected practices.	N. (2) Implementation Incomplete Efforts needed to ensure expected practices.	N. (2) Implementation Incomplete Efforts needed to ensure consistency in expected practices.	N. (2) Implementation Incomplete Efforts needed to ensure consistency in expected practices.
O. Within 60 days of the entry of Judgment, in consultation with Tribal representatives and the Attorney General's Office, CWS shall engage a qualified, independent Tribal Consultant, who is subject to the Attorney General's Office's approval, to work with staff and NCCD to assist with the implementation of policies and procedures relating to collaboration between tribes and CWS social workers with respect to the assessment and investigation of referrals, and addressing the needs of Tribal children.	April 14, 2018 Ongoing	O. Completed 4/5/18 DHHS/CWS committed to contracting with Tribal Consultant, Olin Jones in April 2018, and entered into a contract with Olin Jones on July 10, 2018.	O. Maintained	O. Maintained	O. Maintained	O. Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>P. Within nine months of the entry of Judgment, CWS shall make a good-faith effort to negotiate and develop protocols with the eight federally recognized tribes in Humboldt County governing the process for collaboration that will ensure timely, shared decision-making relating to cases involving Tribal children. These protocols shall include a mutually acceptable procedure for the resolution of disputes when Tribal social workers and CWS are not in agreement regarding case plan decisions.</p>	<p>November 14, 2018</p>	<p>P. In Process Tribal Consultant Olin Jones has met regularly with CWS and Tribal representatives to identify priorities and begin to draft protocols.</p>	<p>P. In Process Tribal Consultant Olin Jones has assisted in the development of a protocol/MOU between Humboldt County and the Hoopa Valley Tribe and continues to work to draft additional protocols.</p>	<p>P. In Process Tribal Consultant Olin Jones continues to assist in developed of protocols/MOUs between Humboldt County and Tribes. <i>See Recommendation 13: Continue to work actively with the Tribal Consultant to negotiate Tribal protocols/MOUs.</i></p>	<p>P. In Process Tribal Consultant Olin Jones continues to assist in the development of protocols/MOUs between Humboldt County and Tribes. CWS continues to work actively with the Tribal Consultant to negotiate Tribal protocols/MOUs. Tribes see the inconsistent implementation of existing policies and protocols as an indication of the reliability of a future protocol or MOU.</p>	<p>P. In Process Tribal Consultant Olin Jones continues to assist in the development of protocols/MOUs between Humboldt County and Tribes. CWS continues to work actively with the Tribal Consultant to negotiate Tribal protocols/MOUs. Tribes see the inconsistent implementation of existing policies and protocols as an indication of the reliability of a future protocol or MOU.</p>
Revision of Policies and Procedures by Defendant Sheriff's Office						
<p>Q. Within 30 days of the entry of Judgment, the Sheriff's Office shall incorporate the requirements set forth below in this section into its policies and procedures and circulate to all personnel.</p>	<p>March 15, 2018</p>	<p>Q. Completed 3/14/2018 The Sheriff's Office updated policies and procedures to reflect requirements in this this section and distributed to staff.</p>				

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<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 15, 2018 and ongoing</p>	<p>R. Completed 3/14/2018 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>R. Maintained CSSP interviewed three staff hired or promoted during MP1. They each had a thorough grasp of policies and expectations.</p>	<p>R. Maintained Efforts are needed to ensure expected practices.</p>	<p>R. Maintained Efforts are needed to ensure expected practices.</p>	<p>R. Maintained Efforts are needed to ensure expected practices.</p>
<p>S. The Sheriff's Office shall ensure timely cross-reporting to CWS and DA's office.</p>	<p>March 15, 2018 and ongoing</p>	<p>S. Completed 3/14/2018 Expectations were issued to staff in Child Abuse policy. The Sheriff's Office has provided training and implemented a weekly review process to ensure</p>	<p>S. Maintained HCSO continues to report a weekly review process to ensure timely cross reporting.</p>	<p>S. Maintained HCSO continues to report a weekly review process to ensure timely cross reporting.</p>	<p>S. Maintained HCSO continues to report a weekly review process to ensure timely cross reporting.</p>	<p>S. Maintained HCSO continues to report a review process to ensure timely cross reporting and plans to include data reconciliation to the agenda for monthly meetings with the</p>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
		timely cross reporting.				CWS CANRA Coordinator.
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.	March 15, 2018 and ongoing	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.	T. Maintained	T. Maintained	T. Maintained	T. Maintained
U. The Sheriff's Office shall make cross-reports to the DA's office in accordance with Penal Code section 11166, subdivision (k).	March 15, 2018 and ongoing	U. Completed 3/14/18 Expectations were issued to staff in Child Abuse policy.	U. Maintained	U. Maintained	U. Maintained	U. Maintained
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.	March 15, 2018 and ongoing	V. Completed 3/14/2018 HCSO reports to CWS as soon as aware of child abuse/neglect situation and follow-up in writing.	V. Maintained	V. Maintained	V. Maintained	V. Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
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.	March 15, 2018	W. Completed HCSO updated Domestic Violence policy to address child involvement and report to CWS.				
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 report is completed. All reports and cross-reports shall be assigned as a "call for services."	March 15, 2018 and ongoing	X. Completed 3/14/2018 HCSO ensures that cross reports are assigned for service.	X. Maintained CSSP has reviewed HCSO data which reflect these practices.	X. Maintained CSSP has reviewed HCSO data which reflect these practices.	X. Maintained	X. Maintained
X. (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.	March 15, 2018 and ongoing	X. (1) Completed 3/14/2018 HCSO reports a weekly review of cross reports.	X. (1) Maintained CSSP has reviewed HCSO data which reflect these practices.	X. (1) Maintained CSSP has reviewed HCSO data which reflect these practices.	X. (1) Maintained	X. (1) Maintained
X. (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 investigate the allegations within 72 hours of receipt and report to CWS and/or other appropriate agencies	March 15, 2018 and ongoing	X. (2) Completed 3/14/2018 HCSO and CWS CANRA Coordinators track referrals and cross reports to ensure joint work.	X. (2) Maintained Expectations for these practices continue. Efforts are needed to understand	X. (2) Maintained Expectations for these practices continue. CSSP will collect data and report on joint response	X. (2) Maintained Expectations for these practices continue. A CSSP review of CWS reports to HCSO in January 2020, found that deputies are	X. (2) Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
that the Sheriff's Office is investigating within 36 hours after starting its investigation.			coordination across agencies.	practice in the subsequent report.	investigating in a timely manner but reporting directly to CWS about investigations.	
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.	March 15, 2018 and ongoing	Y. Completed 3/15/2018 HCSO reports not refusing to handle reports, even those which fall outside its geographical jurisdiction.	Y. Maintained	Y. Maintained	Y. Maintained	Y. Maintained
Y. (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	March 15, 2018 and ongoing	Y. (1) a. Completed 3/15/2018 HCSO reports transferring calls to appropriate agency.	Y. (1) a. Maintained	Y. (1) a. Maintained	Y. (1) a. Maintained	Y. (1) a. Maintained
Y. (1) 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.	March 15, 2018 and ongoing	Y. (1) b. Completed 3/15/2018 If HCSO cannot transfer, reports are sent to the appropriate agency.	Y. (1) b. Maintained	Y. (1) b. Maintained	Y. (1) b. Maintained	Y. (1) b. Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
Y. (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 to ensure that the report is received; and	March 15, 2018 and ongoing	Y. (2) a. Completed 3/15/2018 HCSO handles cross-reports from CWS that are outside jurisdiction by transferring to appropriate agency and following-up with call to appropriate agency.	Y. (2) a. Maintained			
Y. (2) b. Immediately call CWS to inform CWS that the report is outside of the jurisdiction of the Sheriff's Office and to which agency it has transferred the report.		Y. (2) b. Completed 3/15/2018 Handling of cross-reports from CWS outside jurisdiction, after transferring to appropriate agency, follow-up with call to appropriate agency and notify CWS.	Y. (2) b. Maintained			
Electronic Records and Tracking						
Z. Within 45 days of the entry of Judgment, Defendant CWS shall create an internal tracking tool for reports and cross-reports. CWS shall maintain an electronic record of all reports and cross-reports received, including any subsequent actions taken.	March 30, 2018 and ongoing	Z. Completed 3/25/2018 CWS - Creation of internal system for cross-reports.	Z. Maintained	Z. Maintained	Z. Maintained	Z. Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
AA. Within 45 days of the entry of Judgment, Defendant Sheriff's Office shall create an internal tracking tool for reports and cross-reports. The Sheriff's Office shall maintain an electronic record of all cross reports received, including any subsequent actions taken.	March 30, 2018 and ongoing	AA. Completed Sheriff's Office created an internal system for tracking cross-reports.	AA. Maintained HCSO continues to maintain an electronic system of reports and cross reports received and made and subsequent actions taken.	AA. Maintained HCSO continues to maintain an electronic system of reports and cross reports received and made and subsequent actions taken.	AA. Maintained HCSO continues to maintain an electronic system of reports and cross reports received and made and subsequent actions taken.	AA. Maintained
AA. (1) The Sheriff's Office shall retain and categorize reports in its Records Management System ("RMS"). Any supplemental information received from CWS and other agencies or persons relating to a report, including follow-up reports, documentation, or cross-reports, shall be electronically included in the case file in RMS. The case file shall include detailed information about the method and dates of making and receiving cross-reports, as well as information about the investigator's response by each agency.	March 30, 2018 and ongoing	AA. (1) Completed Retain, categorize, and update reports in RMS.	AA. (1) Maintained	AA. (1) Maintained	AA. (1) Maintained	AA. (1) Maintained
AA. (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		AA. (2) Completed HCSO tracks reports which fall outside jurisdiction.	AA. (2) Maintained 24 reports received, tracked, and forwarded to the appropriate agency	AA. (2) Maintained 19 reports received, tracked, and forwarded to the appropriate agency.	AA. (2) Maintained 22 reports received, tracked, and forwarded to the appropriate agency.	AA. (2) Maintained 40 reports received, tracked, and forwarded to the appropriate agency.

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
method of transfer, and to which agency the report was transferred.			during reporting period.			
Contract between Defendant CWS and NCCD						
<p>BB. CWS has entered into a two-year contract with NCCD effective June 30, 2017 to provide for training and technical assistance 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>June 30, 2019 and ongoing</p>	<p>BB. (1) a.-d. Completed NCCD continues to provide training, technical assistance, and coaching to CWS staff and management.</p>	<p>BB. (1) a.-d. Completed NCCD continues to provide training, technical assistance, and coaching to CWS staff and management.</p>	<p>BB. (1) a.-d. Completed NCCD continues to provide training, technical assistance, and coaching to CWS staff and management.</p> <p><i>See Recommendation 2: Implement quality assurance activities at intake to support supervisors in reviewing each report to the hotline.</i></p> <p><i>See Recommendation 6: Require supervisors to conduct monthly reviews of at least one case per social worker per month.</i></p>	<p>BB. (1) a.-d. Completed NCCD continues to provide training, technical assistance, and coaching to CWS staff and management.</p> <p>CWS has implemented supervisory coaching at intake and, as of February 2020, supervisors conduct one SDM® case review per month. CWS also reports that in April 2020, a manager began conducting one secondary review per month of those completed by supervisors.</p>	<p>BB. (1) a.-d. Completed NCCD/Evident Change and CWS have monthly calls focus to focus on SDM® tools and practices to assess safety and risk.⁸⁰</p>

⁸⁰ National Center for Crime and Delinquency is now known as Evident Change: www.evidentchange.org

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>BB. (2) Culturally Responsive Services, which includes, but is not limited to:</p> <p>a. Leadership coaching in the Humboldt Practice Model and Safety Organized Practice, including individual coaching sessions and trainings;</p> <p>b. Teaching effective communication skills for use internally and in collaboration with partner agencies;</p> <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>June 30, 2019 and ongoing</p>	<p>BB. (2) a.-d. Completed NCCD continues to provide training, technical assistance, and coaching to CWS staff and management.</p>	<p>BB. (2) a.-d. Maintained NCCD continues to provide training, technical assistance, and coaching to CWS staff and management.</p>	<p>BB. (2) a.-d. Maintained NCCD continues to provide training, technical assistance, and coaching to CWS staff and management.</p>	<p>BB. (2) a.-d. Maintained NCCD continues to provide training, technical assistance, and coaching to CWS staff and management.</p>	<p>BB. (2) a.-d. Maintained Evident Change continues to provide leadership coaching.</p> <p>CWS has contracted with Evident Change to extend the coaching model to all staff beginning in January 2021.</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</p>	<p>March 15, 2018 and ongoing</p>	<p>CC. (1) – (7) Completed contract 2/27/18 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. CWS provided the Attorney General's Office with a copy of</p>	<p>CC. (1) – (7) In process: (2), (3), and (7) NCCD completed work on mapping decision making post investigation, provided coaching in SDM[®] implementation and introduced the workload study to leadership, who asked for a delay in</p>	<p>CC. (1) – (7) In process: (2), (3), and (7) NCCD provided coaching in SDM[®] implementation and safety organized practice and began to plan for the workload study.</p> <p>CWS must work on managing by data, implementing CQI</p>	<p>CC. (1) – (7) In process: (2), (3), and (7) NCCD provided coaching in SDM[®] implementation and safety organized practice and began the workload study.</p> <p>CWS took steps to increase managing by data and implementing CQI structures.</p>	<p>CC. (1) – (7) In process: (3), (4), and (7)</p>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>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) Manage by data assistance, including bolstering continuous quality improvement processes, leveraging data resources, and analytic support to improve agency practices.</p> <p>(5) Business Process Map 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.</p> <p>(6) Integration of 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.</p>		<p>CWS' amended executed contract with NCCD.</p>	<p>implementation, given other work underway. Work on the mandated reporter guide is in underway.</p>	<p>structures, and integrating Tribal needs into system improvement.</p> <p><i>See Recommendation 3: Have managers perform QA reviews on a set number of intake reports each month;</i></p> <p><i>See Recommendation 4: Continue efforts to fill vacancies and increase staffing; and</i></p> <p><i>See Recommendation 10: Work diligently to eliminate legal and policy violations and ensure consistent adherence to policy mandates in all practices.</i></p> <p><i>See Recommendation 14: Implement multiple measures to understand the</i></p>		<p>(3) The Workload Study moved to data collection phase in mid-March 2020 but was discontinued due to the pandemic.</p> <p>(4) Evident Change met with analysts to develop qualitative data collections skills.</p> <p>(5) Business process mapping TA is available to CWS but has not been used during this time.</p> <p>(6) CWS and Evident Change did not engage in work directly related to Tribes during this time.</p>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
(7) Assistance with the development of a Mandated Reporter Guide, as detailed in Section KK (I).				<p><i>impact of and experiences with CFT meetings and better support staff and families as they participate in CFT meetings and implement, track, and modify plans created during meetings.</i></p> <p><i>See Recommendation 15: Create an agency wide CQI program.</i></p>		(7) Work towards CPRG development continued, including testing and a soft launch.
CC. (8) Creation and implementation of plans to address outstanding, backlogged investigations to ensure that all referrals are investigated.	March 15, 2018 and ongoing, as needed	CC. (8) Completed With TA from NCCD, CWS implemented plans to complete backlogged investigations.	CC. (8) Maintained With TA from NCCD, CWS implemented plans to complete backlogged investigations.	CC. (8) Maintained CWS implemented a plan to complete backlogged investigations. <i>See Recommendation 5: Support investigators in continuing to make timely contacts with children, their caretakers, and others who may inform the investigation, and</i>	CC. (8) Maintained	CC. (8) Maintained

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
				<p><i>making timely entries CWS/CMS.</i></p> <p>See <i>Recommendation 7: Track time to completion of investigations by social worker and supervisor.</i></p>		
<p>CC. (8) a. CWS shall work with NCCD to create a plan to triage outstanding investigations, which may include the hiring of temporary employees. The triaging plan shall be completed and action initiated within 60 days of the amendment of the contract.</p>	<p>April 28, 2018 and ongoing, as needed</p>	<p>CC. (8) a. Completed CWS implemented plans to complete backlogged investigations.</p>				
<p>CC. (8) b. CWS shall work with NCCD to create a time management plan that ensures new investigations are completed in a timely manner as CWS is addressing backlogged investigations. This may include revisions to policies and procedures, training to better utilize SafeMeasures®, or other strategies. The time management plan shall be completed and action initiated within 60 days of the amendment of the contract.</p>	<p>April 28, 2018 and ongoing, as needed</p>	<p>CC. (8) b. Completed CWS implemented plans to complete outstanding investigations.</p>	<p>CC. (8) b. Maintained</p>			

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
CC. (8) 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.	February 13, 2019	CC. (8) c. In Process 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.	CC. (8) c. Completed, 2/12/2019 CWS eliminated the backlog of 293 investigations as of February 12, 2019.	CC. (8) c. Completed <i>See Recommendation 8: Create a plan on how to sustain the progress on the backlog reduction and to determine investigations that legitimately reflect a need to maintain an open file.</i>	CC. (8) c. Completed To conduct timely investigations, CWS pairs social workers for investigations and makes geographical assignment of investigations. Social workers may also receive assistance from clerical staff to enter notes in CWS/CMS.	
CC. (8) 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 Judgment.	February 13, 2019	CC. (8) d. Not Completed The backlog of investigations was 168 on September 12, 2018.	CC. (8) d. Not Completed The backlog of investigations was 191 on February 28, 2019.	CC. (8) d. Not Completed The backlog of investigations was 62 on August 31, 2019.	CC. (8) d. Completed The backlog of investigations was 7 on February 29, 2020.	
Training						
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:	August 12, 2018	EE. (1) Completed August 9, 2018				

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
(1) The requirements of CANRA and the Welfare & Institutions Code, including the legal obligations of CWS and confidentiality requirements;						
EE. (2) Procedures relating to documenting referral and case information into (CWS/CMS), including detailed information relating to cross-reporting and contact with tribes; and	August 12, 2018	EE. (2) Completed August 9, 2018				
EE. (3) The revised policies and procedures that CWS is required to implement pursuant to the Judgment.	August 12, 2018	EE. (3) Not Completed CWS has not finalized policies with input from Tribes and the Community Task Force. CWS has not circulated Investigations policy to staff.	EE. (3) Completed December 14, 2018 CWS circulated policies on that incorporated Tribal input.			
EE. (4) Prior to the 180-day timeframe for completion of the above trainings, CWS shall, on a monthly basis, provide the Attorney General's Office with a list of trainings provided to and completed by employees.	Monthly from August 13, 2018	EE. (4) Completed The AG advised CWS to submit training provided and completed by employees directly to CSSP. CSSP received training list on August 10, 2018.				

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>EE. (5) Training shall be conducted at least annually on the above subject matters and participation shall be tracked. Any newly hired or assigned personnel shall be required to attend such training within 30 days of hire or assignment.</p>	<p>Annually, August and ongoing (for new hires)</p>	<p>EE. (5) Partially Completed CWS provided training on WIC, CANRA, accepting reports, and cross reporting.</p> <p>Policies and procedures, and therefore related training, have not yet been finalized.</p>	<p>EE. (5) Completed CWS reports discussion of policies and procedures during group and individual meetings with supervisors and program meetings. CWS is not planning training classes of other sessions on policies and procedures for current staff.</p>	<p>EE. (5) Completed New and ongoing staff have participated in sessions on CANRA, WIC, and policies.</p>	<p>EE. (5) Completed New and ongoing staff have participated in sessions on CANRA, WIC, and policies.</p>	<p>EE. (5) Completed</p>
<p>FF. Defendant Sheriff’s Office shall provide annual mandatory training for its deputies and records personnel on the following subject matters: (1) Requirements of CANRA, including the legal obligations of the Sheriff’s Office and confidentiality requirements; (2) Handling investigations relating to child abuse and neglect; (3) The revised policies and procedures that the Sheriff’s Office is required to implement pursuant to the Judgment; and (4) Trauma-informed practices relating to interviews of children.</p>	<p>Annually, August</p>	<p>FF. (1)-(4) Completed March 2018</p>	<p>FF. (1)-(4) Maintained</p>	<p>FF. (1)-(4) Not Completed HCSO reports providing annual training to all but 20 staff by August 31, 2019.⁸¹</p>	<p>FF. (1)-(4) Completed/Maintained All staff up to date on training. No additional requirements during this period.</p>	<p>FF. (1)-(4) Not completed HCSO did not provide annual training to staff as of August 2020 as required, due to the pandemic. Training is on track to be completed by early December 2020.</p>

⁸¹ HCSO reports all staff, except two on extended medical leave, completed annual CANRA training by November 14, 2019.

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>FF. (5) Training participation shall be tracked. New deputies shall complete the training as part of their four-month Field Training Officer (FTO) Program. Lateral transfers shall be provided such training during the Field Training Program. New records personnel hires shall be required to attend such training within 30 days of hire.</p>	<p>Ongoing</p>	<p>FF. (5) Completed</p>	<p>FF. (5) Maintained</p>	<p>FF. (5) Maintained</p>	<p>FF. (5) Maintained</p>	<p>FF. (5) Maintained</p>
Complaint Systems						
<p>GG. Within 60 days of the entry of Judgment, Defendant CWS shall create a complaint procedure that can be easily understood by and publicized to the community. This procedure shall include the timeframe for handling complaints submitted formally and informally, written and orally. CWS shall create a policy designating a supervisor who will be responsible for ensuring all complaints are investigated.</p>	<p>April 15, 2018 and ongoing</p>	<p>GG. Completed April 13, 2018 CWS opened an Office of the Ombudsperson with an assigned supervisor “to provide independent review of questions and concerns related to CWS practices.”⁸²</p>	<p>GG. Ongoing CWS continues to operate the Office of the Ombudsperson which received 63 complaints this period.</p>	<p>GG. Ongoing CWS continues to operate the Office of the Ombudsperson which received 110 complaints this period.</p>	<p>GG. Ongoing CWS continues to operate the Office of the Ombudsperson which received 84 complaints this period.</p>	<p>GG. Ongoing CWS continues to operate the Office of the Ombudsperson which received 58 complaints this period. CWS reports meeting with DHHS to discuss recommendations to DHHS’ review of the Office and making improvements in the operations and reporting structure of the Office to improve effectiveness.</p>

⁸² <https://humboldt.gov/DocumentCenter/View/63519/20180413-CWSOmbudsperson?bidId=>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>HH. Defendant Sheriff's Office's Policy 1020 relates to complaints. Within 60 days of the entry of Judgment, the Sheriff's Office shall revise Policy 1020.5 to require that all formal and informal complaints and inquiries that relate to child abuse or neglect issues be categorized as "CANRA" so that such complaints can be tracked to ensure they are being addressed in accordance with Policy 1020 and this Judgment.</p>	<p>April 15, 2018 and ongoing</p>	<p>HH. Completed March 14, 2018 HCSO updated policy (now 920) and the CANRA Coordinator is assigned to handle and track policy procedural complaints related to CANRA.</p>	<p>HH. Maintained HCSO received 3 inquiries related to child abuse and neglect investigations.</p>	<p>HH. Maintained HCSO reports receiving no complaints or inquiries related to child abuse and neglect investigations.</p>	<p>HH. Maintained HCSO reports receiving no complaints or inquiries related to child abuse and neglect investigations.</p>	<p>HH. Maintained HCSO reports receiving three complaints or inquiries related to child abuse and neglect investigations.</p>
Community Task Force ("Task Force")						
<p>II. Within 120 days of the entry of Judgment, the Humboldt County Sheriff and Director of DHHS ("Director") shall create a Task Force consisting of internal and external stakeholders for the purpose of making recommendations to their respective departments. The Sheriff and Director shall invite community members and representatives from the following agencies or departments to participate in the Task Force, however, membership is not limited to these entities: (1) School districts (2) Humboldt County Office of Education (3) Humboldt County Probation Department (4) DHHS, Mental Health division (5) Local law enforcement agencies (6) Tribes (7) Medical providers, specifically pediatricians</p>	<p>June 14, 2018 and ongoing</p>	<p>II. Completed 5/24/2018 First Community Task Force Meeting held May 24, 2018 by Humboldt County Sheriff's Office and Department of Health and Human Services. Two meetings held since then during this monitoring period.</p>	<p>II. Maintained The monitor continues to observe Task Force meetings.</p>	<p>II. Maintained The monitor continues to observe Task Force meetings.</p>	<p>II. Maintained The monitor continues to observe Task Force meetings.</p>	<p>II. Maintained</p>

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
and/or representatives from the local children's hospital.						
JJ. The Task Force shall meet on a quarterly basis to discuss issues relating to CANRA, child abuse and neglect, and child welfare within Humboldt County.	June 14, 2018 and ongoing	JJ. Completed 5/24/2018 – 8/31/2018 Community Task Force meetings were held 5/24/2018, 6/21/2018, and 7/26/2018.	JJ. Maintained Community Task Force meetings were held 9/13/2018 and 1/24/2019.	JJ. Maintained Community Task Force meetings were held 3/28/2019, 5/23/2019, and 8/15/2019. See Recommendation 17: Share the results of DHHS' review of the Ombudsperson's Office with the Community Task Force.	JJ. Maintained Community Task Force meetings were held 11/14/2019 and 2/14/2020.	JJ. Maintained Community Task Force meetings were held in May, June, and August 2020.
KK. The duties of the Task Force shall generally include: (1) Creation of a web-based Mandated Reporter Guide, which provides an overview of CANRA and the Welfare & Institutions Code, including: a. The legal obligations of each Defendant, including what types of reports fall within the respective jurisdiction of each agency; b. Policies and processes implemented by Defendants to ensure compliance with CANRA and the Welfare & Institutions Code, and any other	June 14, 2018 and ongoing	KK. (1) a.-d. In Process Sub-committee formed to create the Mandated Reporter Guide with support from NCCD.	KK. (1) a.-d. In Process, Primarily c. The subcommittee to develop a web-based Mandated Reporter Guide continues to meet. The subcommittee plans to test the Guide by in the fall of 2019.	KK. (1) a.-d. In Process, Primarily, c. The subcommittee to develop a web-based Mandated Reporter Guide continues to meet.	KK. (1) a.-d. In Process.	KK. (1) a.-d. In Process.

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
statutes relating to the investigation of reports of child abuse and neglect; and c. The legal obligations of mandated reporters. d. A hard-copy version of the guide shall be made available.						
KK. (2) Input on changes or revisions to policies and procedures relating to CANRA.	June 14, 2018 and ongoing	KK. (2) In Process Sub-committee formed to review and provide input.	KK. (2) Completed A sub-committee reviewed CWS policies and procedures and provided input.	KK. (2). N/A No revised policies related to CANRA presented to the Task Force.	KK. (2). N/A No revised policies related to CANRA presented to the Task Force.	KK. (2). Topics for discussion raised for placement on future agenda.
KK. (3) Discussion of barriers encountered by the community and agencies with respect to CANRA and recommendations to address such barriers.	June 14, 2018 and ongoing	KK. (3) In Process Addressed through the Community Task Force and sub-committees.	KK. (3) In Process Addressed through the Community Task Force and sub-committees.	KK. (3) In Process Addressed through the Community Task Force <i>See Recommendation 15. of this report: Create an agency wide CQI program.</i>	KK. In Process	KK. In Process
KK. (4) Identification of available community-based resources within Humboldt County and processes to coordinate referrals to such resources as appropriate.	Target not yet set	KK. (4) In Process Mandated Reporter Guide sub-committee has shared several resources to be included in the guide.	KK. (4) In Process To be included with Child Protection Reporting Guide.	KK. (4) In Process To be included with Child Protection Reporting Guide.	KK. (4) In Process To be included with Child Protection Reporting Guide.	KK. (4) In Process To be included with Child Protection Reporting Guide.

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
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.	December 2019 and ongoing	LL. Completed 8/7/2018 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, 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.	LL. Maintained	LL. Maintained	LL. Maintained	LL. Maintained
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	June 14, 2018 and ongoing	MM. Completed Minutes and documents have been sent to the monitor	MM. Maintained Minutes and documents have been sent to the	MM. Maintained Minutes and documents have been sent to the	MM. Maintained Minutes and documents have been sent to the monitor	MM. Maintained Minutes and documents have been sent to the monitor

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>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>within the 35-day timeframe for 2 of the 3 meetings held during MPI. Community Task Force meeting minutes and documents can be found on the Community Task Force website.⁸³</p>	<p>monitor within the 35-day timeframe for 2 of the 3 meetings. Community Task Force meeting minutes and documents can be found on the Community Task Force website.⁸⁴</p>	<p>monitor within the 35-day timeframe. Community Task Force meeting minutes and documents can be found on the Community Task Force website.⁸⁵</p>	<p>Community Task Force meeting minutes and documents can be found on the Community Task Force website.⁸⁶</p>	<p>Community Task Force meeting minutes and documents can be found on the Community Task Force website.⁸⁷</p>
Compliance Monitor						
<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</p>	<p>March 1, 2018 and ongoing</p>	<p>4. Completed 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>	<p>4. Maintained</p>	<p>4. Maintained</p>	<p>4. Maintained</p>	<p>4. Maintained</p>

⁸³ <https://humboldt.gov.org/2373/Community-Task-Force>

⁸⁴ [Ibid](#)

⁸⁵ [Ibid](#)

⁸⁶ [Ibid](#)

⁸⁷ [Ibid](#)

Required Corrective Actions	Final Target	2/14/2018-8/31/2018 Performance	9/1/2018-2/28/2019 Performance	3/1/2019-8/31/2019 Performance	9/1/2019-2/29/2020 Performance	3/1/2020-8/31/2020 Performance
<p>Office, the 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>						

Appendices

Appendix A: Glossary of Acronyms

AG – Attorney General

CANRA – Child Abuse and Neglect Reporting Act

CAST – Child Abuse Services Team

CFSR – Child and Family Services Review

CFT – Child and Family Team

CPRG – Child Protection Reporting Guide

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

CQI – Continuous Quality Improvement

CSSP – Center for the Study of Social Policy

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

CWS/CMS – Child Welfare Services/(electronic) Case Management System

DA – District Attorney

DHHS – Department of Health & Human Services

FTO – Field Training Officer

HCSO – Humboldt County Sheriff’s Office

ICWA – Indian Child Welfare Act

MDT – Multidisciplinary team

MOU – Memorandum of Understanding

NCCD – National Council on Crime and Delinquency/Evident Change

RMS – HCSO Records Management and Computer Aided Dispatch System

SDM[®] – Structured Decision Making

SIP – Systems Improvement Plan

SSA – (CWS) Social Services Aide

TA – Technical Assistance

**Appendix B: Humboldt County Child Abuse Services Team (CAST) - Guidelines for a
Multidisciplinary Team Response to Child Abuse – May 1, 2020**

HUMBOLDT COUNTY

CHILD ABUSE SERVICES TEAM (CAST)



Guidelines for a Multidisciplinary Team
Response to Child Abuse

May 1, 2020

PARTICIPATING AGENCIES AND TRIBAL GOVERNMENTS

HUMBOLDT COUNTY DISTRICT ATTORNEY'S OFFICE
HUMBOLDT COUNTY DEPARTMENT OF HEALTH & HUMAN SERVICES
HUMBOLDT COUNTY SHERIFF'S OFFICE
EUREKA POLICE DEPARTMENT
ARCATA POLICE DEPARTMENT
FORTUNA POLICE DEPARTMENT
FERNDALE POLICE DEPARTMENT
RIO DELL POLICE DEPARTMENT
BEAR RIVER PUBLIC SAFETY
BLUE LAKE RANCHERIA POLICE DEPARTMENT
HOOPA VALLEY TRIBAL POLICE DEPARTMENT
YUROK PUBLIC SAFETY
HUMBOLDT COUNTY SEXUAL ASSAULT RESPONSE TEAM (SART)
HUMBOLDT COUNTY DISTRICT ATTORNEY – VICTIM WITNESS SERVICES
HUMBOLDT COUNTY PROBATION DEPARTMENT
NORTH COAST RAPE CRISIS TEAM (CALM)
COURT APPOINTED SPECIAL ADVOCATES (CASA)
BEAR RIVER BAND OF THE ROHNERVILLE RANCHERIA
BIG LAGOON RANCHERIA
BLUE LAKE RANCHERIA
HOOPA VALLEY TRIBE
KARUK TRIBE
TRINIDAD RANCHERIA
YUROK TRIBE
TWO FEATHERS NATIVE AMERICAN FAMILY SERVICES
WIYOT TRIBE

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Accredited Child Advocacy Center



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CHILDREN'S
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I. MISSION STATEMENT

The agencies and Tribal governments involved in the investigation, intervention, and on-going treatment of child abuse, through a cooperative, collaborative, and coordinated process, will maintain a Multidisciplinary Child Abuse Services Team (CAST). This team approach will enhance services to our community by bringing existing resources together in an effort to more effectively and efficiently respond to and resolve child abuse cases. Welf. & Inst. Code 18961.7

II. MEMORANDUM OF UNDERSTANDING

Mission Statement: The agencies and tribal governments involved in the investigation, intervention, and on-going treatment of child abuse, through a cooperative, collaborative, and coordinated process, will maintain a Multi-Disciplinary Child Abuse Services Team (CAST). (Welf. & Inst. Code 18961.7) This team approach will enhance services to our community by bringing existing resources together in an effort to more effectively and efficiently respond to and resolve child abuse cases.

Purpose: The purpose of this Memorandum of Understanding (MOU) is to establish and maintain an effective working relationship between all agencies and tribal governments involved. We recognize how important the CAST can be as a vehicle for building stronger partnerships between multiple agencies with mutual goals. We look forward to working collaboratively to ensure a coordination of services to Humboldt County's children and families at risk.

Description of Services: Agencies and tribal governments that participate agree to provide personnel to CAST as described in the Guidelines that follow. Agencies and tribal governments will follow their established protocol regarding non-discrimination hiring practices; specifically, that they do not discriminate on the basis of race, religion, national origin, ancestry, gender, marital status, sexual orientation, age, disability or on any other non-merit factors in their process of recruitment, selection, promotion, or other conditions of employment. Agencies and tribal governments that participate will agree to designate one representative to attend monthly meetings. Together the team will work to achieve the following CAST goals:

1. Concerning confidentiality and the ability to share information, the CAST members will act in accordance with Welfare and Institution Code Sections 827, 830, 830.1, 10850.1, 18951, 18961.7, 25 U.S.C. §1902; W&I 224 and the Health Information Portability & Privacy Act (HIPPA).
2. Collaborate between local tribes and the members of the Humboldt County Child Abuse Services Team to support and enhance the investigative process by making available professionals who are knowledgeable about the tribe's traditions, culture, and social structure to avoid misinterpretation of nonverbal communication. This approach is consistent with the main purposes of the Indian Child Welfare Act (ICWA) "to protect the best interests of Indian children" and "to promote the stability and security of Indian tribes and families" (25 U.S.C. §1902; W&I 224).
3. Maintain guidelines for CAST.
4. Maintain criteria for the types of cases CAST will review.
5. Enhance access to services and treatment.
6. Enhance cultural competency among participating team members.

7. Develop strategic planning process to provide resource and support to CAST.
8. Increase and facilitate mutual understanding of the roles and responsibilities of each member of CAST.
9. Promote community awareness of the CAST process and the issues of child abuse.

III. AMENDMENT

No addition to, or alteration of, the terms of this MOU shall be valid unless made in parties and signed by the parties hereto.

Any of the participating agencies may submit a request for review and revision of the CAST multidisciplinary MOU to the Governing Board.

IV. DISPUTE RESOLUTION

The Parties agree to engage in a good faith effort to resolve any issues or disputes arising from this document in a cooperative and mutually respectful manner. When a good faith effort does not resolve an issue or dispute, the Parties will engage in a "Meet and Confer" dispute resolution process:

1. The aggrieved Party will document the issue or dispute to be resolved in writing and will provide this documentation to the District Attorney, Tribe, LE agency, and/or CWS designated representative within ten (10) calendar days and, if appropriate, will request a meeting to discuss the issue or dispute.
2. The responding Party will respond in writing within ten (10) calendar days to the District Attorney, Tribe, LE agency, and/or CWS' designated representative. Such response will either document an agreed upon solution; a proposed solution; or will provide an opportunity to schedule a meeting within ten (10) calendar days.

Should the issue or dispute remain unresolved after receiving a written response to a request to engage in the "Meet and Confer" process, or after participating in a meeting in response to such a request, the District Attorney may recommend that the Parties engage in mediation or another traditional dispute resolution forum to resolve the issue or dispute.

All disputes must be resolved in a manner that preserves the integrity of any pending criminal investigation and/or prosecution.

V. **GUIDELINES FOR REFERRAL TO CAST**

A. **COMMUNITY/ MANDATORY CHILD ABUSE REPORTS**

Community and mandatory child abuse reports are reported to Child Welfare Services and/or Law Enforcement pursuant to P.C. 11164 et seq.; the DHHS/HCSO "MOU re: Cross Reports Pursuant to the Child Abuse and Neglect Reporting Act (CANRA)"; and any and all applicable Intergovernmental Agreements and/or Protocols between Tribes and the County of Humboldt

B. **REFERRAL CRITERIA TO CAST**

All potential felony and misdemeanor child abuse cases, where a child or percipient witness has made a disclosure may be referred for a forensic interview by CAST. In the event of referral numbers being too high, cases will be prioritized in conjunction with the Interview Specialist, the District Attorney's Office and the involved Law Enforcement agency.

C. **REQUESTING AN INTERVIEW THROUGH CAST**

1. All requests for interviews with CAST will be initiated by Law Enforcement.
2. During business hours, Law Enforcement will contact CAST to request an interview. In the event of an emergency after-hours, Law Enforcement will contact Humboldt County Child Welfare Services at the Humboldt County Child Welfare Services' Child Abuse Hotline. Humboldt County Child Welfare Services will notify the Forensic Interviewer. The Forensic Interviewer will notify the District Attorney Investigator, who will assist in assembling the Core Team to respond to the CAST Center.
3. Law Enforcement, Child Welfare Services and/or tribal social services shall provide CAST with written case details, prior to the interview, so that this information can be reviewed by all team members. In an acute case, verbal case details will be accepted over the phone. In all cases, Law Enforcement shall brief the Child Interview Specialist and other participating team members, prior to the interview.

VI. GUIDELINES FOR COMPREHENSIVE CAST ASSESSMENT

A. MDT MEMBERS

The multidisciplinary interview team will generally consist of, but not be limited to, a representative of the District Attorney's Office, a representative from Law Enforcement, a staff member from Mental Health, a Child Interview Specialist, Child Welfare Services, Tribal Social Services, medical personnel, and representatives from advocacy groups in accordance with Welfare and Institutions Codes 827, 828, 830, 830.1, 10850.1, 18951, and 18961.7. Each staff member of the MDT has been hired by, and is under the supervision of, their direct agency. The agencies and tribal governments are responsible for basic training specific to the job descriptions. The MDT as a group expands on the skills and ongoing education of the members, including but not limited to cultural responsiveness, diversity sensitivity, and the specialization of child abuse investigations and dynamics.

B. CONFIDENTIALITY

The members of the MDT will act in accordance with the Health Insurance Portability and Accountability Act (HIPAA) (45 CFR part 160, and Subparts A and E of part 164) and Welfare and Institutions Code guidelines for confidentiality and information sharing addressed in codes 827, 828, 830, 830.1, 10850, 10850.1, 18951, and 18961.7 during pre-interview briefings, the forensic interview, post-interview briefings, case review, and all other aspects of case consultation for the purposes of investigation and service provision.

C. FORENSIC INTERVIEW

To provide the best possible environment for forensic evidence to be collected, interagency coordination and planning is crucial. A collaborative forensic interview is an effective and efficient way to communicate important details among professionals to prevent *system abuse* of the victim/witness.

1. Non-Discrimination Policy:

Law Enforcement refers cases to CAST on the basis of the need for service with or without the participation of Child Welfare Services or Medical Facilities.

CAST members hereby assure that no person shall be excluded from participation in, be denied benefits of, or be subjected to discrimination from CAST because of race, religion or religious creed, color, age (over forty [40] years of age), sex (including gender identity and expression, pregnancy, childbirth and related medical conditions), sexual orientation (including heterosexuality, homosexuality and bisexuality), national origin, ancestry, marital status, medical condition (including cancer and genetic characteristics), mental or physical disability (including HIV

status and AIDS), political affiliation, military service or any other classifications protected by local, state, or federal laws or regulations.

CAST members will abide by the applicable provisions of: Title VI and Title VII of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; the Age Discrimination Act of 1975; Title II of the Americans with Disabilities Act of 1990; California Civil Code Sections 51, et seq.; California Welfare and Institutions Code Section 10000; United States Executive Order 11246, as amended and supplemented by United States Order 11375 and 41 C.F.R. Part 60; and any other applicable local, state and/or federal laws and regulations, all as may be amended from time to time.

2. Referral by Law Enforcement:

- a. Law Enforcement Officers will conduct a preliminary interview with reporting person and/or witnesses to evaluate:
 - i. Indications of abuse
 - ii. Whether the victim/witness has witnessed a crime
 - iii. Date, duration, and location of offense
 - iv. Safety of all parties involved
 - v. Whether there is probable cause for immediate arrest
 - vi. Whether alleged perpetrator can be identified
- b. Law Enforcement Officers should minimize contact with the victim/witness unless required to protect the victim/witness.
- c. Law Enforcement Officer contacts CAST to request an interview, pursuant to the policy of each Law Enforcement Agency.
- d. Law Enforcement Officer should maintain separation between victims/witnesses and suspected perpetrators.

3. Referral by DHHS Child Welfare Services:

- a. Social Worker will conduct a preliminary screening and/or field contact to evaluate:
 - i. Indications of abuse
 - ii. Date, duration, and location of abuse
 - iii. If the child is at imminent risk of further abuse
 - iv. Safety and risk to all children/youth involved
 - v. Whether alleged perpetrator can be identified
 - vi. Whether there is a prior CWS case history or open case

- b. As provided by CANRA, Social Worker contacts Law Enforcement in cases of suspected abuse to coordinate investigation and request a CAST interview when appropriate.
- 4. Referral by Tribal Social Services:
 - a. Each tribe will follow their own procedures as set forth by the addendum to this document prior to referral to Law Enforcement.
- 5. Referral by Medical Facilities:
 - a. Medical facilities will not refer to CAST but continue to refer allegations of abuse to Law Enforcement and/ or Child Welfare Services per P.C. 11166.
- 6. Staffing:
 - a. Deputy District Attorney
 - b. District Attorney Investigator
 - c. District Attorney Victim Witness Advocate
 - d. Legal Office Assistant from the District Attorney's Office
 - e. Forensic Interview Specialist
 - f. Mental Health Professional from Children's Mental Health Services
 - g. Law Enforcement (Tribal and Non-Tribal) Officers identified by their respective agencies and tribal governments
 - h. CWS/ICWA Worker depending on jurisdiction
 - i. Advocacy services including, but not limited to County, Tribal, and Community based organizations
 - j. Additional participants, case specific, as identified by the Team
- 7. Responsibilities:
 - a. Law Enforcement (both Tribal and Non-Tribal) responsibilities include:
 - i. Determine if case meets criteria for referral to CAST
 - ii. Request CAST interview by arranging for the interview with the CAST Center and coordinating with all known assigned DHHS Social Workers and Tribal ICWA/Social

Workers. Interviews should be scheduled in advance when possible

- iii. Provide information of the date, time, location, and general information about the interview to the caretakers
- iv. Make available assigned Law Enforcement personnel to observe the CAST interview, arriving at the Center at least 30 minutes prior to the interview to brief the Core Team. Law Enforcement to research prior relevant history and make available prior to interview
- v. Prepare investigative reports. Conduct interviews with caretakers prior to the CAST interview whenever possible. All background materials and reports need to be made available to the Team as far in advance of the interview as possible
- vi. Observe CAST interview, take possession of AV recordings of interview; retain in evidence, and prepare subsequent reports
- vii. Participate in follow-up case meetings of CAST, consulting with Deputy District Attorney, DHHS Social Worker, Tribal ICWA/Social Workers, medical personnel, and Center staff as needed
- viii. Testify in Court as necessary
- ix. Attend monthly CAST meeting as well as specialized training
- x. Conduct interviews with necessary witnesses
- xi. Collaborate with Deputy District Attorney to evaluate whether a Sexual Assault Response Team (SART) examination or other medical examination is indicated; contact the SART Coordinator to schedule SART examination as outlined in the SART Protocol; provide summary of CAST interview to SART prior to medical examination
- xii. Prepare search/arrest warrants with appropriate review by the Deputy District Attorney, to secure evidence necessary to the investigation of the case
- xiii. Provide completed Welfare and Institutions Code Section 300, Juvenile Apprehension report to the placing agency (CWS or Tribal Social Services) when a child is placed in protective custody by Law Enforcement personnel

- b. When the suspect is a caregiver, the child is a dependent of the juvenile court or there are concerns that the parent failed to protect the child from the abuse, Child Welfare Services responsibilities include, Child Welfare Services responsibilities include:
 - i. Report case to appropriate Law Enforcement and tribal government as required by law and applicable CWS intake procedures
 - ii. Provide reports necessary to facilitate CAST interview. Make the child's assigned Social Worker available to observe the CAST interview. Social worker will research CWS history and be prepared to provide key information to the CAST interviewer and other team members. The social worker will arrive at the center at least 30 minutes prior to interview to brief the Forensic Interview Specialist
 - iii. Observe CAST interview and prepare subsequent documentation and/or reports
 - iv. Participate in follow-up meetings of CAST, coordinating with the Deputy District Attorney and Law Enforcement Officer in the assessment and investigation of the case, and presenting CWS perspective, as needed
 - v. Testify in Court as necessary
 - vi. Attend specialized training in the operation of CAST
 - vii. Interviews with caretakers should be done in conjunction with Law Enforcement
 - viii. Collaborate with Deputy District Attorney and Law Enforcement Officer to determine if a medical examination is necessary
 - ix. Follow up as necessary pursuant to Welfare and Institutions Code Section 300 et seq.
 - x. Facilitate the submission of a Victim of Crime Application, for the child victim, through the DA Victim Witness Office
- c. The Forensic Interview Specialist responsibilities include:
 - i. Prepare interview room at CAST

- ii. Conduct comprehensive child interview following state and nationally accepted standards for interview protocols designed to cover the topics required with the child. Conduct any follow-up CAST interviews deemed necessary. Consultation with Law Enforcement, CWS, Tribal ICWA/Social Worker and the Deputy District Attorney will occur during the interview process
 - iii. Participate in and coordinate on-going training regarding forensic interviewing of children and multi-disciplinary interview teams
 - iv. Testify in court when required
- d. Tribal ICWA Designee/Social Services responsibilities:
Each Tribe will follow their own procedures as set forth by the addendum to this document.
- e. District Attorney's Office responsibilities include:
Staff assigned to CAST: Deputy District Attorney, District Attorney Investigator, Legal Office Assistant, and Victim Witness Advocate.
- i. Deputy District Attorney will participate in CAST process; review case and handle prosecution; if case cannot be filed notify victim and family; attend specialized training, and follow-up meetings of CAST as needed
 - ii. District Attorney Investigator will assist Law Enforcement as needed; work with Law Enforcement, CWS, and Tribal ICWA/Social Worker, to evaluate any reported abuse including providing assistance with evaluating need for Sexual Assault Response Team (SART) referral
 - iii. Legal Office Assistant, CAST Coordinator will:
 - Track all Suspected Child Abuse Reports (SCARs)
 - Determine if there is a history of services by Humboldt County CWS and Tribal Social Services

- Schedule interview upon referral from Law Enforcement and notify CWS, Tribal ICWA/ Social Services and any other advocacy groups
 - Update database after each interview, and prepare reports for Law Enforcement Agencies, District Attorney, Mental Health, CWS, Tribal ICWA/Social Workers, Public Health, SART, and CAST Advisory Board
 - Track criminal prosecution through the court system and update statistics accordingly
 - Act as liaison to advocacy groups - Victim Witness, North Coast Rape Crisis (CALM), Tribal Service Programs and CASA
 - Attend monthly CAST Advisory Board meetings as Secretary, prepare minutes and agenda, distribute to CAST Advisory Board
 - Inventory and order office supplies
- iv. Victim Witness Advocate will assist family members and victim with services;
- Respond to all CAST Interviews. If unable to attend VW Advocate will contact North Coast Rape Crisis/CALM Advocate to coordinate Advocacy response.
 - Attend CAST Briefings
 - Attend monthly CAST Advisory Meetings
 - Attend monthly CAST Core Team Meetings
 - Offer and assist victim/witness and family members in completing a Victim of Crime Application. VW Advocate will gather needed documents (police reports) and submit the Victim of Crime Application to the VW Claims Department Provide Criminal Justice System orientation to victim/witness and family members
 - Provide Court Support to victim/witness and family members
 - Coordinate meetings between the caregiver of the victim/witness and Prosecution, when appropriate

- Act as a liaison with other advocacy groups such as; North Coast Rape Crisis/CALM, Tribal Service Programs and the DA Victim Witness Tribal Advocate
- Will co-advocate with other advocacy groups such as; North Coast Rape Crisis/CALM, Tribal Services Programs and the DA Victim Witness Tribal Advocate when appropriate
- Provide the caregiver of the victim/witness with resource materials and referrals to Community Based Organizations
- Participate with CAST Members in community outreach to increase public awareness of CAST Services
- Participate with CAST Members offering in-services to Law Enforcement
- Participate in CAST trainings
- Gather and maintain statistical data for DA Victim Witness grant reports and informational purposes

f. CAST Mental Health Professional responsibilities include:

- i. Provide support, education, treatment and referral information to the victim/witness' caretaker during the CAST interview process
- ii. Obtain mental health Consent for Evaluation and/or Treatment of a victim/witness from legal guardian or person legally entitled to consent (such as minors 12 or older or Social Worker) prior to delivery of Mental Health Services. In the event that a minor presents at CAST, mental health services will not be provided to that child until consent is obtained or treatment can legally be provided with supervisor approval pursuant to Family Code 692
- iii. Provide Mental Health assessment, follow-up, and referral to other Humboldt County and Tribal Mental Health services, as clinically and culturally appropriate. Participate in pre and post briefings, with MDT.

g. Child Abuse Services Core Team Group responsibilities include:

- i. Provide site for CAST interview
- ii. Facilitate training opportunities for all CAST core team members in the areas of child abuse dynamics and investigations; cultural responsiveness; MDT process and development; joint response for Law Enforcement, Child Welfare, and Tribal ICWA/Social Services; as well as other relevant topics
- iii. Maintain audio/visual (AV) equipment for interviews and record audio/visual of all interviews conducted at the CAST Center. Provide original AV recording to Law Enforcement Officer to book into evidence (DA Investigator responsibility)
- iv. Provide a location for training materials for CAST members to utilize
- v. Gathering and maintaining statistical data for evaluation and informational purposes (DA Legal Office Assistant)
- vi. During the process of assessment and interview, link families and children with community services and advocacy groups
- vii. Provide ongoing community networking, including but not limited to education and training
- viii. Follow up with family within two weeks of interview by telephone. General assistance, resources, and case status will be reviewed with the family at this time. Follow-up form will be attached to the intake packet by staff who completes the follow up contact Advocate

8. Lines of Authority

- a. Team members will report directly to their agency supervisor. The Core Team will provide regular operational updates to the Governing Board at the monthly Governing Board meeting
- b. Core Team Organization shall consist of primary/on-site CAST staff members including:
 - i. Deputy District Attorney
 - ii. Forensic Interview Specialist
 - iii. District Attorney Investigator
 - iv. Victim Witness Advocate
 - v. Mental Health Professional

vi. Legal Office Assistant

The Core Team will meet to discuss cases, center operations, and provide peer review. The CAST Center will use a team approach for decision making and center operations. Participating Core agencies will give reasonable notice of an agency's intent to rotate Core staff

- c. CAST Governing Board shall consist of:
- i. Deputy District Attorney/Core Team Director
 - ii. District Attorney Investigator
 - iii. Child Welfare Services Program Manager with oversight over CAST
 - iv. Department of Health and Human Services Branch Director with administrative oversight over CAST, or their designee

The Governing Board reports to the Executive Board. The Governing Board shall meet as needed, at least annually. The CAST Legal Office Assistant will take and distribute meeting minutes. Minutes from the monthly Governing Board meeting will be provided to the Executive Board. The role of the Governing Board is to receive information from the Core Team, and related recommendations from the Advisory Board. The Governing Board analyzes and considers the information and recommendations and determines if a recommendation needs to be made to the Executive Board. Fiscal issues above and beyond routine operations may be brought to the Executive Board, at the discretion of the Governing Board. The Governing Board reports to the Executive Board Director

- d. CAST Advisory Board shall consist of one designated representative for each participating agency. The Advisory Board shall meet monthly. The CAST Legal Office Assistant will take and distribute meeting minutes. The CAST Advisory Board role is advisory in nature. The Advisory Board will review materials for the Core Team and the Governing Board and make recommendations to the Governing Board
- e. The CAST Executive Board shall be made up of the District Attorney, Department of Health and Human Services Director and the President of Humboldt County Law Enforcement Chiefs Association (LECAH). The Executive Board shall approve guidelines and general policies, address on-going funding concerns of CAST and provide direction as needed. Note: DHHS funding remains under the purview of the Department of Health and

Human Services and provided under conditions outlined in a separate MOU with the District Attorney's Office

D. FORENSIC MEDICAL EXAMINATION

1. SART Protocol will be followed.
2. Law enforcement authorizes and schedules SART referrals
3. Interviewer will complete the section of the medical examination form relating to the victim/witness's statements when the interview is conducted prior to the forensic medical examination. Information will be provided to the SART Coordinator.
4. If the SART referral is completed before the CAST interview, Law Enforcement officer will bring a copy of the SART medical report to CAST.

E. CAST REVIEW PROCESS

1. Immediately following the forensic interview, the CAST will meet to:
 - a. Determine if there are immediate mental health concerns and/or need for protective custody placement of the victim/witness, and relay that information to the Mental Health specialist before the specialist meets with the victim/witness
 - b. Discuss the facts of the case
 - c. Determine the necessity and priority for a medical examination. Authorization for the SART referral rests with Law Enforcement
 - d. Provide investigative support and assistance to Law Enforcement, including a list of any additional investigative steps that are needed
 - e. Recommend follow-up services (treatment, dependency action, etc.) for the victim/witness and family
 - f. Coordinate follow-up needs for the victim/witness and family
 - g. Provide feedback to the interviewer on the forensic interview process
 - h. Keep on-going statistical data for program review and evaluation, accountability and funding purposes

F. CAST CENTER RECORDING PROCEDURE FOR LAW ENFORCEMENT AGENCIES

1. Equipment Use

It is the responsibility of the assigned District Attorney Investigator to activate and operate the audio/visual equipment according to instructions

posted in the observation room. The CAST Center will provide digital recording for all interviews.

2. Informing the Victim

The CAST Interview Specialist or Law Enforcement will routinely advise the victim/witness of the intent to record the interview. The victim/witness will be informed of the reasons for the recording and protections in place to preserve confidentiality.

3. Transfer of the Recording to Evidence

Once the interview is complete the assigned Law Enforcement officer will immediately book the recording into evidence. The recording will be held and controlled by the Law Enforcement investigating agency. In the situation of agency-assist interviews conducted at CAST, the AV recordings can be sent to jurisdictional agencies and may be accompanied by examples of protective orders, maintaining the confidentiality of the recordings.

4. Audio/Visual Recording Storage

Once logged, the AV recording shall be stored in a secured location at the respective Law Enforcement agency. For the purpose of Forensic Interviewer Peer Review copies will be stored a secured location at the CAST Office. Copies will be destroyed once peer review is completed.

5. Release of Audio/Visual Recordings to the Defense

In criminal cases AV recorded interviews of the victim will be provided to defense counsel by the District Attorney's Office pursuant to rules of discovery.

AV recorded interviews of victims shall not be released to a defendant or any other party without a court order that the tapes will be kept confidential and used only by attorneys or other parties for preparation of the defense without unnecessary disclosure to other persons. This order will also provide for the protection and ultimate destruction of the AV recording after final disposition.

In all other situations, attorneys requesting release (discovery) of the AV recording shall prepare and serve a Subpoena Duces Tecum upon the investigating Law Enforcement agency with notice to all parties to the action.

6. Disposal of Recordings

The CAST recordings will be destroyed, following disposition of the case, in accordance with the protective order described above.

G. ADVOCACY SUPPORT

1. Role

- a. An advocate is trained and serves to assist and support survivors and non-offending significant others as they go through legal systems.

2. Advocate Training/Orientation

- a. Advocates will be trained as identified under California Law, and may be required to participate in a CAST orientation process.

3. Contact

- a. CAST will provide notice to CAST member advocacy groups regarding up-coming interviews.
- b. CAST will provide information and referral to advocacy and support services including North Coast Rape Crisis Team (CALM), DA Victim/Witness, and include tribal social services programs. When the victim requests advocacy services prior to or during the interview, CAST will facilitate such services.

4. Responsibilities

- a. An advocate, recognized from the CAST MOU, will arrive at the CAST Center 30 minutes after the scheduled Core Team Briefing, to meet with the family, unless otherwise arranged by the Core Team. The advocate will explain and offer services, as well as provide support to victim/witness and their caregiver.
- b. A victim's request for a specific advocate to provide support in the Center waiting room will be honored.

H. MONTHLY REVIEWS – Closed and Open Cases

1. Goals of Closed Case Review

- a. Discuss issues, concerns and successes of the CAST process by using identified cases for review: consider individual needs of the family (including but not limited to cultural/ethnic focuses), individual and shared goals of involved agencies, effectiveness of investigation and coordination of response, and overall MDT practices.
- b. Identify needs of the victim/witnesses and families who have been at CAST and share necessary follow-up information with MOU signing agencies and tribal governments, per confidentiality guidelines.

- c. Review any procedural problems specific to a particular case, patterns of concerns, and/or intra-agency system issues regarding CAST
 - d. Troubleshoot general policy/procedures of CAST process
 - e. Track patterns of utilization
 - f. Make recommendations to Advisory Board regarding CAST specific practice changes.
2. Participants of Closed Case Review
- a. Case Review Team will consist of the Governing Board, ICWA/Tribal Social Services representative, North Coast Rape Crises (CALM) representative, SART representative, and others as identified by the Governing Board.
 - b. Shall have an understanding of child abuse & neglect and training of confidentiality requirements.
3. Procedure of Closed Case Review
- a. Cases will be identified for review during Governing Board and Advisory Board meetings by any signing member of CAST MOU or their representative. A list of cases for review will be maintained by the CAST Legal Office Assistant.
 - b. Case Review will be held at the end of each monthly CAST Advisory Board Meeting.
 - c. Cases available for review are cases closed by completion of prosecution or designated by Law Enforcement as suspended, rejected, closed or unfounded.
 - d. The specific agenda of cases to be discussed may be modified by the Case Review Team.
 - e. Sealed, confidential agendas will be sent to Case Review Team members, listing cases by perpetrator/suspect name.
 - f. Issues which arise in the Case Review may be referred to the Executive Board for further discussion as needed to resolve concern.
 - g. Any member who has signed the CAST MOU may refer concerns about a particular case to Case Review. Discussion about those concerns will be addressed within the Case Review. A response will be prepared by the team and provided to the concerned party.
 - h. A report to the Advisory Board from the Case Review Team will be provided at least quarterly, more often if/when action is needed.

4. Goals of Open Case Review

- a. Discuss ongoing issues, concerns, and status of open cases: consider the individual needs of the family (including but not limited to cultural/ethnic focuses) and the individual and shared goals of involved agencies and tribal governments.
- b. Identify and respond to unmet system objectives.
- c. Identify and coordinate services: consider individual family and investigative/agency needs.
- d. Create a forum to increase the communication of agency mandates and subsequent planned actions in order to provide services to each family while protecting children and enforcing the law.
- e. Maintain CAST database for the purpose of case tracking.

5. Participants of Open Case Review

- a. Governing Board, which consists of Core team members: Deputy District Attorneys, DA Investigator, Child Interview Specialist, Mental Health personnel, direct supervisors of the team members (DA, CWS, Mental Health), ICWA/Tribal Social Services, Law Enforcement, DA Victim Witness, NCRCT, and Chair of Advisory Board.
- b. Participants shall follow confidentiality guidelines per W&I Code Sections 830, 830.1, 10850.1, 18951.

Information and records communicated or provided to the Governing Board, as well as information and records created in the course of a child abuse or neglect investigation, shall be deemed private and confidential and shall be protected from disclosure by all applicable statutory and common law protections. Existing civil and criminal penalties shall apply to the inappropriate disclosure of information held by the Governing Board. Said information may be confidential under the laws of California, including but not limited to Welfare and Institutions Code Sections 827, 10850; Division 19 California Department of Social Services Manual of Policies and Procedures, Confidentiality of Information; and/or the laws of the United States.

6. Procedure of Open Case Review

- a. Open cases will be identified for review during Governing Board and Advisory Board meetings by any signing member of CAST MOU or their representative. A list of cases for review will be maintained by the Office Coordinator.

- b. Open Case Review will be held at the end of each monthly CAST Advisory Board Meeting.
 - c. Office Coordinator generates and provides a monthly list of all open cases referred to DA for review and consideration.
 - d. Any agency member can bring forward any case investigated through CAST.
 - e. Needs or concerns identified by review process will be referred to responsible agency by that agency's Governing Board representative for action. In the event the agency is not represented during that particular review, communication will be made by the Chair of Advisory Board or his/her designee unless otherwise arranged.
 - f. Office Coordinator will note changes in case status and enter them in CAST database to maintain case tracking.
7. Seven Points of Case Review:
- a. Frequency of Monthly Meetings
Monthly Case Review Meetings are the Second Tuesday of every Month at noon, right after the CAST Advisory Meeting.
 - b. Designated Attendees
Please see attached Exhibit A.
 - c. Case Selection Criteria
Case is selected based on a core team general consensus and based on the level of services provided to the victim/witness and family.
 - d. Designated Facilitator/Coordinator
The person that runs the case review sessions is the CAST Advisory Board Chair, who is appointed by the CAST Advisory Board annually.
 - e. Mechanism for Distribution of agenda and notification of cases to be discussed
The CAST Legal Office Assistant is responsible for notifying all Core Team members and MDT members and any outside participating agencies on the cases to be discussed. This is conducted through our Outlook email system. A list of cases is generated by this position prior to notifying the participants based on input from the Core Team.
 - f. Procedures for follow-up recommendations to be addressed
Depending on the input from the case review participants, the CAST investigation will take the lead in making contact with the individual either in person or by the phone.

- g. Designate Location of the Monthly Meetings
The monthly case review meetings are held at the County Department of Health and Human Services Professional Building located on F Street in Eureka, California.

SIGNATURE OF CAST EXECUTIVE BOARD MEMBERS

The undersigned have read the guidelines, addendums and the MOU and agree to utilize the guidelines as outlined.

 Maggie Fleming (date) 7/1/20	 Connie Beck (date) 6-30-2020
District Attorney Director of CAST, Victim Witness Programs Office of the District Attorney	Director, Department of Health & Human Services, Mental Health and Child Welfare Services


Sheriff William Honsal (date) 7/1/2020
President,
Law Enforcement Chief's Association
Of Humboldt (L.E.C.A.H.)

*Signature page in the process of being updated with
names of current participating agencies*

Exhibit A

**Designated Attendees
Open & Closed Case Review Meetings**

1. Deputy District Attorney – CAST (Core Team Member)
2. DA Investigator (Core Team Member)
3. Child Interview Specialist (Core Team Member)
4. Mental Health Personnel (Core Team Member)
5. DA Victim Witness Advocate (Core Team Member)
6. District Attorney (CAST Director)
7. Child Interview Specialist Supervisor
8. Mental Health Supervisor
9. Tribal ICWA/Social Services Supervisor
10. Participating Law Enforcement
11. Victim Witness Advocate Supervisor
12. North Coast Rape Crisis Team Member
13. Chair of Advisory Board
14. Medical Personnel – SART

** Participants follow confidentiality guidelines per the Welfare and Institutions Code Section 830, 830.1, 10850.1, 18951.