



# RISK ASSESSMENT VALIDATION: A PROSPECTIVE STUDY



# **CALIFORNIA DEPARTMENT OF SOCIAL SERVICES CHILDREN AND FAMILY SERVICES DIVISION**

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# EXECUTIVE SUMMARY

The California Department of Social Services (CDSS) Children and Family Services Division Child Welfare Services (CWS) contracted with Evident Change to conduct a validation study of the risk assessment used to assess the likelihood of future child maltreatment among families investigated by child welfare agency staff.<sup>1</sup> Since CDSS CWS adopted the current actuarial risk assessment in 2007, an additional 11 counties in California have implemented the Structured Decision Making® (SDM) system. Currently, child welfare agency staff in 54 of the 58 California counties complete the risk assessment for families at the end of a maltreatment investigation to help inform their case service decisions.

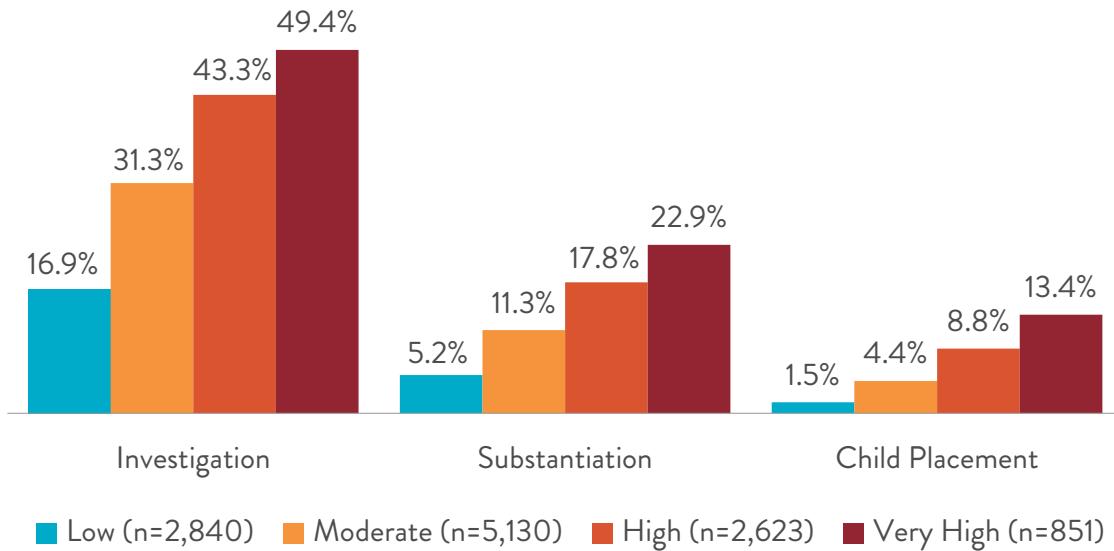
The objective of this validation study was to assess how well the current risk assessment estimates future maltreatment, particularly across subgroups. A second objective, if necessary, was to propose revisions to improve its classification abilities. The sample consisted of families that were investigated between July 1, 2010, and June 30, 2011. If a family was investigated more than once during the sample period, their first investigation was selected. Data describing subsequent child protective services (CPS) outcomes were observed for each family during a standardized follow-up period of 18 months (1.5 years) after their sample assessment. These outcome measures included investigations of abuse or neglect allegations, substantiations of maltreatment, and subsequent child placements during the standardized follow-up period.

The current risk assessment performed well when distinguishing between families classified at low, moderate, high, and very high risk of subsequent substantiated maltreatment. For all CPS outcomes (investigation, substantiation, and child placement) and among most sample subgroups, the recidivism rates observed among low-risk families were significantly lower than those of families classified at higher risk levels. For example, 5.2% of families classified as low risk had a subsequent substantiation during the 18-month follow-up period, a rate much lower than the average (12.2%) for the entire sample. Families classified as moderate risk had a subsequent substantiation rate of 11.3%, high-risk families a rate of 17.8%, and very high-risk families had a rate of 22.9% (Figure ES1). An increase in risk from low to moderate and moderate to high corresponded to at least a 35% increase in the reinvestigation rate (only a 14% increase between high and very high risk), at least a 55% increase in the subsequent substantiation rate (only a 28% increase between high and very high risk), and a nearly twofold increase in the child placement rate (a 52% increase between high and very high risk).

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<sup>1</sup> At the time of this report's publication, Evident Change was known as the National Council on Crime and Delinquency (NCCD) and the NCCD Children's Research Center (CRC). This report has been updated to reflect the organization's current name.

Figure ES1  
CPS Outcomes During the 18-Month Follow-Up Period by Current Risk Classification



Although the current risk assessment classified families reasonably accurately overall, results suggest that performance could be improved. For example, there was a less pronounced difference in outcome rates for high- and very high-risk families (i.e., outcome rates were elevated for very high-risk families, but not much higher than outcome rates for high-risk families). This pattern was observed on both the abuse and neglect indices, individually, as well as for the overall scored risk level. It is desirable to have more distinction between high- and very high-risk families than what is currently observed. Also, the current assessment did not differentiate very well between moderate-, high-, and very high-risk Native American families. More than 50% of Native American families were classified as high or very high risk. This is particularly problematic given that outcome rates for high- and very high-risk Native American families did not significantly differ from those of moderate-risk Native American families.

## DEVELOPMENT OF THE PROPOSED RISK ASSESSMENT

To determine whether the current classification findings could be improved upon, Evident Change conducted independent risk factor analyses and risk assessment construction. This began with examining the relationship between the family case characteristics workers observed and recorded in the CWS/Case Management System (CMS) at the time of the sample investigation and subsequent CPS involvement. This

includes risk and safety factors recorded by workers, allegations of abuse and neglect made at the time of the sample incident, and CPS involvement of families prior to the sample incident. Individual items were selected for inclusion in the abuse or neglect assessment based on their statistical association with subsequent maltreatment.

This first step was based on correlations and cross-tabulations between each potential risk factor available for study and each outcome measure. Risk factors that demonstrated a significant statistical association with any CPS outcome were included in regression analyses. Stepwise regression analyses informed the combination of risk factors tested for construction, and risk item weights were determined by assessing their bivariate and multivariate relationships to maltreatment outcome measures. Because the assessment must be completed by workers under field conditions, the ease of observing and reliably scoring case characteristics was also considered in the selection of revised assessment items. After a preliminary assessment was developed, it was tested against outcomes to determine optimal cut-points for classification categories and to evaluate its classification capabilities. The risk assessment was then applied to the validation sample to examine classification findings with a different sample.

This revalidation effort resulted in a proposed risk assessment that employs similar risk factors to the current one. The proposed neglect risk assessment, for example, lowers the score assigned to prior neglect history, separates out prior abuse history, distinguishes between families that received CPS in the past versus currently, makes child characteristics a one-point item rather than a summative item, removes the item related to the primary caregiver's physical care of the child, and adds evaluation of the secondary caregiver to the primary caregiver characteristics items (history of abuse or neglect as a child, mental health, alcohol/drug problem, criminal arrest history). The proposed abuse risk assessment expands the current report item to include emotional abuse, alters the scoring for number of prior abuse investigations, separates out prior neglect history, distinguishes between families that received CPS in the past versus those currently receiving services, eliminates delinquency history from the child characteristics and the "primary caregiver is domineering" item, adds "primary caregiver blames child," adds evaluation of the secondary caregiver to the primary caregiver characteristics items (history of abuse or neglect as a child and mental health), and adds an item regarding primary and/or secondary caregiver substance abuse.

Although both the current and proposed risk assessments perform well when distinguishing between families by the risk of future child maltreatment allegations, the proposed risk assessment classified fewer families as high and very high risk than the current assessment (26.2% compared to 30.4%); and a greater proportion of these families had a subsequent investigation, substantiation, and child placement compared to families classified as high or very high risk by the current risk assessment (Table ES1). In other words, the revised assessment achieved greater specificity than the current risk assessment (i.e., fewer families classified as high or very high risk, but a higher proportion of these families were subsequently involved with CPS). This difference may in part be attributable to the use of the sample for construction purposes (as opposed to validation), but validation findings for alternative samples indicate that the specificity may be transferrable

(see Appendix C for more details). In addition, the revised risk assessment reduced differences in performance observed across ethnic groups when classified by the current risk assessment.

<b>TABLE ES1</b>					
<b>OVERALL RISK LEVEL</b>	<b>SAMPLE DISTRIBUTION</b>		<b>OUTCOME RATES DURING THE 18-MONTH FOLLOW-UP PERIOD</b>		
	<b>N</b>	<b>%</b>	<b>SUBSEQUENT INVESTIGATION</b>	<b>SUBSEQUENT SUBSTANTIATION</b>	<b>SUBSEQUENT INVESTIGATION WITH REMOVAL</b>
<b>TOTAL SAMPLE</b>	<b>11,444</b>	<b>100.0%</b>	<b>31.8%</b>	<b>12.2%</b>	<b>5.4%</b>
<b>Current Risk Assessment Classification</b>					
Low	2,840	24.8%	16.9%	5.2%	1.5%
Moderate	5,130	44.8%	31.3%	11.3%	4.4%
High	2,623	22.9%	43.3%	17.8%	8.8%
Very High	851	7.4%	49.4%	22.9%	13.4%
<b>Proposed Risk Assessment Classification</b>					
Low	2,582	22.6%	16.2%	5.1%	1.4%
Moderate	5,867	51.3%	30.3%	10.9%	4.4%
High	2,440	21.3%	46.1%	19.4%	9.5%
Very High	555	4.8%	57.7%	25.9%	15.7%

Adopting the proposed assessment should help to improve workers' estimates of a family's risk of future maltreatment. This, in turn, would permit the agency to reduce subsequent maltreatment by more effectively targeting service interventions to high-risk families. Agency monitoring and quality improvement efforts may also improve the accuracy of worker risk assessment estimates and the management of service delivery. As previously mentioned, periodic validations are required to ensure that risk assessments continue to effectively classify families by their likelihood of future child maltreatment. If child welfare agency operations change significantly in the next few years, Evident Change strongly recommends that another validation study be conducted to ensure that the risk assessment is effectively classifying families.

# I. INTRODUCTION

California's Department of Social Services (CDSS) Children and Family Services Division Child Welfare Services (CWS) contracted with Evident Change to conduct a validation study of the risk assessment used to assess the likelihood of future child maltreatment among families investigated by child welfare agency staff. Since CDSS CWS adopted the current actuarial risk assessment in 2007, an additional 11 counties have implemented the Structured Decision Making® (SDM) system. Currently, child welfare agency staff in 54 of the 58 California counties complete the risk assessment for families at the end of a maltreatment investigation to help inform their case service decisions.

The objective of this validation study was to assess how well the current risk assessment estimates future maltreatment, particularly across subgroups. A second objective was to, if necessary, propose revisions to improve its classification abilities.

# II. BACKGROUND

A critical goal of the SDM® model is to reduce the maltreatment of children in families that have had an abuse or neglect incident. The most effective way to accomplish this goal is to accurately identify families at high risk for future maltreatment, prioritize them for service interventions, and effectively deliver services appropriate to their needs.

California's SDM system for child protective services (CPS) was developed in 1998 by CDSS CWS agency staff in conjunction with Evident Change. The SDM system's objectives are to increase the consistency and validity of worker case management decisions, target service interventions to families at high risk of subsequent maltreatment, reduce subsequent child maltreatment, and increase the effectiveness of the child protection system. The SDM system's key features are:

- A safety assessment, which helps to identify the immediate protective service interventions required during a CPS investigation, including removal of a child;
- A research-based risk assessment, which provides workers with an objective estimate of the family's risk of future maltreatment at the close of an investigation;
- A family strengths and needs assessment, which identifies case plan goals and appropriate service interventions;
- Agency policies that emphasize service intervention with high-risk families;

- A risk reassessment for families receiving in-home services, which helps workers to monitor progress toward treatment goals and make case decisions about continued services and the likelihood of subsequent child maltreatment;
- A reunification assessment for families with children in out-of-home placement, which helps workers to monitor family progress toward service goals and make decisions about how to achieve safety and permanency for children in out-of-home care;
- Workload standards that encourage more frequent worker contact with high-risk families in an effort to improve service intervention management; and
- Workload accounting, which identifies staff resources needed to reduce risk and strengthen families.

California first developed an actuarial risk assessment to classify families by the likelihood of future child maltreatment in 1998 using a sample of 2,511 families investigated for child maltreatment in 1995. Most (91.6%) of the families in the sample were substantiated for child abuse or neglect (CA/N). Although the risk assessment was to be applied in practice to both substantiated and inconclusive investigations, substantiated investigations were oversampled to help ensure the reliability of information found in the case files. Outcomes were observed for a standardized 24 months. A workgroup of supervisors, workers, and administrators assisted in the design of the data collection survey. Case readers hired and trained by Evident Change staff collected information from case files, and periodic reliability checks ensured high-quality data collection. Evident Change staff constructed the risk assessment instrument by analyzing family characteristics at the time of the sample investigation and their relationships with the identified outcomes, including subsequent investigation, substantiation, and child injury resulting from substantiated maltreatment. The 1998 study showed that the final risk classification clearly identified groups of families by the likelihood of a future allegation or substantiation.

To ensure that the risk assessment classified families well according to their likelihood of subsequent maltreatment when completed by workers under field conditions, CDSS CWS conducted a validation study in 2003. This validation differed primarily in that the sample consisted of families investigated regardless of whether the sample incident was substantiated or not. This validation study also helped to ensure the validity of the risk assessment after any policy changes in one or more counties, such as changes to procedures for intake, investigation, and ongoing service delivery. The 2003 validation study showed that the risk assessment implemented in 1998 classified families well by their likelihood of subsequent CPS involvement. Some changes to the risk assessment resulted in an improved classification of families by subsequent CPS involvement and were therefore implemented in February 2005.

Since then, the number of California counties implementing the SDM system has increased annually. This—combined with the introduction of practice changes such as Team Decision Making, Safety-Organized Practice, and other family engagement models; coaching and training initiatives; and many others—resulted in the need for further validation. The 2007 validation study completed by Evident Change staff showed that the risk assessment and risk reassessment performed well overall. Again, however, small changes

improved the assessment's classification abilities. A slightly revised risk assessment was implemented for California counties in February 2008.

One of the strengths of California child welfare agencies using the SDM system is their commitment to ensure that the risk assessment is valid given current practice conditions. CDSS CWS understood early on that periodic validation of an actuarial assessment can help to ensure accurate and equitable classifications of families by risk. Thus, CDSS CWS opted to conduct this validation study to ensure that California child welfare agency staff have a risk assessment that accurately classifies families by the likelihood of future child maltreatment.

This report describes how California's family risk assessment (FRA) performed when classifying families assessed or investigated by child welfare agency staff by the likelihood of subsequent child maltreatment. Evident Change staff first assessed the ability of the current risk assessment to estimate future child maltreatment and then explored revisions to improve the risk assessment's performance.

## III. RESEARCH METHODOLOGY

### A. METHOD OF ANALYSIS

This research was conducted using information available from California's CWS/Case Management System (CMS) and the SDM database. This included data describing the type of abuse or neglect alleged and substantiated, demographic characteristics of children and other family members, child placement information, and findings from SDM safety and risk assessments as recorded by workers at the time of the sample incident.

The sample consisted of families that were investigated between July 1, 2010, and June 30, 2011. If a family was investigated more than once during the sample period, the first investigation (the "index investigation") was selected. Data describing subsequent CPS outcomes were observed for each family during a standardized follow-up period of 18 months (1.5 years) after the sample assessment. These outcome measures included investigations of abuse or neglect allegations, substantiations of maltreatment, and subsequent child placements during the standardized follow-up period.

The initial sample selection was based on how long and how often workers in counties had been completing the risk assessment in practice. County child protection systems must have implemented the risk assessment prior to the start of the sample period to be retained in the sample. The sample was further limited to counties in which the risk assessment completion rate was 75% or higher for substantiated and inconclusive investigations. That is, a risk assessment must be available in the database for 75% or more of

substantiated or inconclusive investigations that occurred during the sample period. The 33 California counties eligible for sampling based on these two criteria are described in Table 3 of the next section.

During the sample period, these 33 counties received reports of alleged harm to a child for 137,786 unique families. Of these, 21,268 (15.4%) did not have a risk assessment available for their index investigation and therefore were excluded from analysis. An additional 4,476 families had all children associated with the index investigation placed in foster care for the entire 18-month follow-up period and thus were excluded. There were 34 families dropped because the index investigation was associated with a prior investigation that began more than 45 days before the sample timeframe.

Completing the risk assessment for families with unfounded allegations is optional in some California counties. Counties vary in the nature of departmental direct services provided; for example, whether differential response services are provided and how the service delivery is structured. Because some county staff complete the FRA for families with unfounded allegations, the 59,152 unique families with unfounded child maltreatment allegations were excluded from the construction and validation samples but retained for an exploratory validation effort. Appendix C reports the risk classification findings for the unfounded index investigations with a risk assessment available. Findings indicate that the proposed risk assessment would work similarly for families with an unfounded investigation.

Among the remaining investigations, families were stratified by ethnicity based on the primary ethnicity of the youngest alleged child victim on the index investigation; then they were randomly selected into either a construction sample or a validation sample. Asian/Pacific Islander and Native American families were oversampled for the construction sample to ensure ample representation. The construction sample consists of 50% of the Asian/Pacific Islander families with a substantiated or inconclusive index investigation and all of the Native American families whose index investigation was substantiated or inconclusive. The construction sample included 20% of all other race/ethnicity groups. The same sampling plan was used to create the validation sample, with the exception of Native American families.

**TABLE 1**
**SUBSTANTIATED AND INCONCLUSIVE INDEX INVESTIGATIONS BY FAMILY RACE/ETHNICITY  
CONSTRUCTION SAMPLE VERSUS VALIDATION SAMPLE**

<b>FAMILY RACE/ ETHNICITY</b>	<b>ALL FAMILIES</b>		<b>CONSTRUCTION SAMPLE</b>		<b>VALIDATION SAMPLE</b>	
	<b>N</b>	<b>%</b>	<b>N</b>	<b>% SAMPLED FROM RACE/ ETHNICITY GROUP</b>	<b>N</b>	<b>% SAMPLED FROM RACE/ ETHNICITY GROUP</b>
Asian/Pacific Islander	1,791	3.4%	874	48.8%	905	50.5%
Black/African American	8,321	15.7%	1,661	20.0%	1,655	19.9%
Hispanic/Latino or South/Central American	23,974	45.4%	4,775	19.9%	4,669	19.5%
White	14,820	28.0%	2,974	20.1%	2,977	20.1%
Native American	470	0.9%	470	100.0%	0	0.0%
Other/Missing	3,480	6.6%	690	19.8%	694	19.9%
<b>TOTAL</b>	<b>52,856</b>	<b>100.0%</b>	<b>11,444</b>	<b>21.7%</b>	<b>10,900</b>	<b>20.6%</b>

Evident Change used the construction sample (n=11,444) to examine the performance of the current risk assessment and construct a preliminary revised risk assessment. The validation sample (n=10,900) was used to verify the accuracy of the revised risk assessment. Validating the instrument on a separate population better indicates how a risk assessment will perform when actually implemented.

As a first step, Evident Change staff examined the relationship between the current risk classification and subsequent CPS outcomes to determine how well the assessment estimated future maltreatment. This analysis was based on cross-tabulations of the risk classification with CPS outcomes observed during the follow-up period.

The second part of the research involved efforts to construct an improved actuarial risk assessment. The proposed assessment presented in this report was developed by observing the actuarial relationship between family characteristics observed at the time of the sample assessment and subsequent CPS investigations and their findings. This involved an extensive evaluation of how family risk factors could be combined to construct a risk assessment that could better classify families based on estimates of future maltreatment rates.

## B. SAMPLED FAMILY CHARACTERISTICS

The following tables describe the construction sample of 11,444 families investigated during the sample period. The majority of families had either one (43.1%) or two (28.9%) children, and 28.0% had three or more children (Table 2). Nearly one third (28.1%) of families had a youngest child under the age of 1 year, and 29.4% had a youngest child between the ages of 2 and 5 years. In one fifth (20.7%) of families, the youngest child was between 6 and 10 years of age, and in the remaining 21.8%, the youngest child was 11 years or older.

The youngest child's ethnicity was referenced in analyses to examine the equity of the risk assessment's classification abilities. For close to half (41.7%) of the sampled families, the ethnicity of the youngest child was Hispanic/Latino or South/Central American. Slightly more than one fourth (26.0%) of the youngest children were White/European American, 14.5% were Black/African American, 7.6% were Asian or Pacific Islander, and 4.1% were Native American.

**TABLE 2**  
**CHARACTERISTICS OF SAMPLED FAMILIES**

		<b>N</b>	<b>%</b>
<b>TOTAL SAMPLE</b>		<b>11,444</b>	<b>100.0%</b>
<b>Number of Children</b>	One	4,934	43.1%
	Two	3,306	28.9%
	Three	1,950	17.0%
	Four	808	7.1%
	Five or more	446	3.9%
<b>Age of Youngest Child</b>	1 year or younger	3,212	28.1%
	2–5 years	3,367	29.4%
	6–10 years	2,373	20.7%
	11–15 years	1,973	17.2%
	16–17 years	519	4.5%
<b>Race/Ethnicity of Youngest Child</b>	Asian/Pacific Islander	874	7.6%
	Black/African American	1,661	14.5%
	Hispanic/Latino or South/Central American	4,775	41.7%
	White/European American	2,974	26.0%
	Native American	470	4.1%
	Other/Missing	690	6.0%

More than two thirds (68.2%) of the sampled families were referred to child welfare agencies for neglect, and 4.5% were referred for severe neglect (Table 3). One third (33.4%) of families were referred for physical abuse, 31.7% for emotional abuse, and 12.0% for sexual abuse of a child. Nearly one fourth (23.3%) included allegations of a child at risk. More than half (54.1%) of the sampled investigations were substantiated, and the remainder were found to be inconclusive (note that unfounded investigations were excluded from the study sample).

Nearly half (42.0%) of the sampled investigations occurred in Los Angeles County. An additional 12.5% of investigations were conducted in San Diego County, 9.3% in Orange County, 9.2% in Riverside County, and 8.2% in Sacramento County.

**TABLE 3**  
**CHARACTERISTICS OF SAMPLED INVESTIGATIONS**

		<b>N</b>	<b>%</b>
<b>TOTAL SAMPLE</b>		<b>11,444</b>	<b>100.0%</b>
<b>Sample Allegations<sup>2</sup></b>	Neglect	7,808	68.2%
	Physical abuse	3,820	33.4%
	Emotional abuse	3,623	31.7%
	Sexual abuse	1,369	12.0%
	Caregiver incapacitated	889	7.8%
	Severe neglect	515	4.5%
	Exploitation	17	0.1%
	At risk	2,667	23.3%
<b>Investigation Disposition</b>	Inconclusive	5,249	45.9%
	Substantiated	6,195	54.1%

<sup>2</sup> More than one allegation may have been received; thus, the sum of percentages will be greater than 100.0%.

**TABLE 3****CHARACTERISTICS OF SAMPLED INVESTIGATIONS**

		<b>N</b>	<b>%</b>
<b>TOTAL SAMPLE</b>		<b>11,444</b>	<b>100.0%</b>
<b>County</b>	Alameda	138	1.2%
	Del Norte	56	0.5%
	El Dorado	86	0.8%
	Humboldt	70	0.6%
	Kern	506	4.4%
	Kings	73	0.6%
	Los Angeles County	4,811	42.0%
	Mendocino	92	0.8%
	Orange	1,059	9.3%
	Riverside	1,049	9.2%
	Sacramento	934	8.2%
	San Diego	1,426	12.5%
	San Luis Obispo	65	0.6%
	San Mateo	93	0.8%
	Santa Cruz	162	1.4%
	Shasta	131	1.1%
	Siskiyou	58	0.5%
	Solano	140	1.2%
	Ventura	116	1.0%
	Yolo	62	0.5%
	Other*	317	2.8%

\*Other includes Alpine, Calaveras, Glenn, Inyo, Lake, Lassen, Marin, Modoc, Nevada, San Benito, Trinity, Tuolumne, and Yuba counties

## C. SUBSEQUENT CPS INVOLVEMENT OF SAMPLED FAMILIES

Outcomes consisted of subsequent CPS involvement observed for each family during the 18 months (1.5 years) following the sampled investigation. This standardized follow-up period ensured that each family in the sample had the same opportunity for subsequent involvement with child welfare agencies. Measures were any assigned investigation of abuse or neglect, a substantiation of maltreatment, and a subsequent child placement as the result of a new investigation.

Classification findings are presented for all outcomes, but subsequent investigation was the primary outcome informing decisions during risk assessment performance evaluation and construction. Re-investigation has a higher average prevalence (referred to as base rate) and is more similar across ethnic groups than other outcomes (see Table 4). Subsequent substantiated allegation is an important secondary outcome because it is an evidentiary decision indicating that CA/N occurred, and it is related to federal performance standards. Workers substantiate maltreatment when they find evidence that the alleged abuse or neglect meets the definition of child maltreatment imposed by state statutes. In effect, a substantiated maltreatment finding incorporates a standard of evidence applied after the worker has assessed the CPS incident. Research shows that the substantiation decision's reliability, however, is questionable.<sup>3</sup>

The FRA has two classification indices. One assesses the likelihood of subsequent neglect, and the other assesses the likelihood of subsequent abuse. The ability of these indices to classify families by the likelihood of each maltreatment type was examined by looking at the relevant maltreatment outcomes. For example, the actuarial risk of future neglect index was examined by comparing risk of neglect score and classification to whether or not neglect was alleged or substantiated as part of a subsequent investigation during a standardized follow-up period. The abuse index was examined relative to subsequent abuse involvement. The final risk classification, which is the higher of the neglect and abuse risk classifications, was examined by looking at any subsequent CPS investigation (regardless of allegation type), subsequent substantiation, and placement of a child in foster care during the standardized follow-up period.

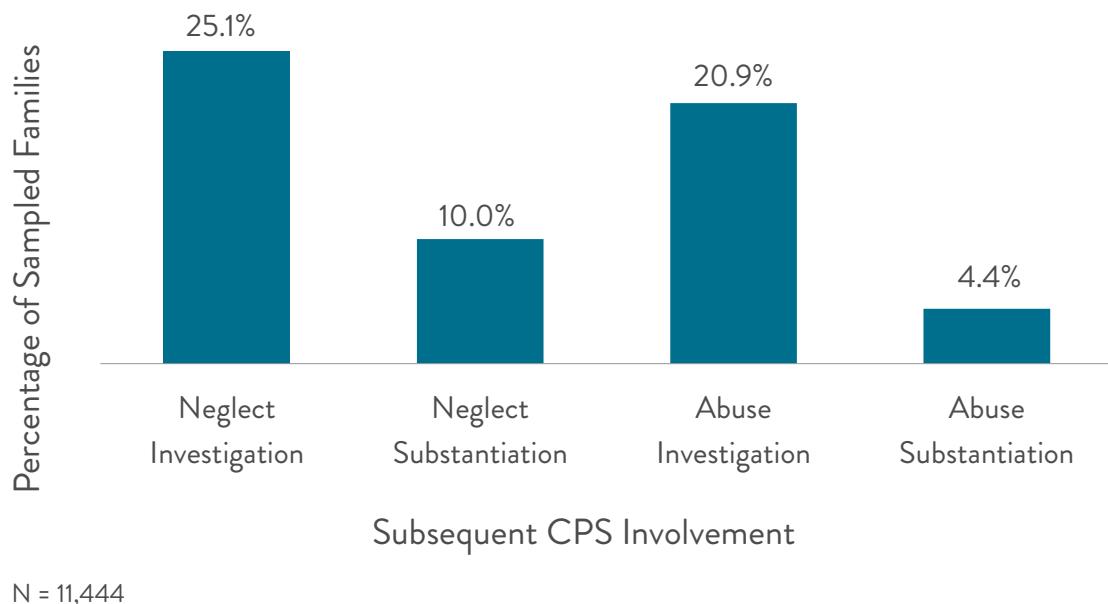
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<sup>3</sup> Kohl, P., Jonson-Reid, M., & Drake, B. (2009). Time to leave substantiation behind. *Child Maltreatment*, 14(1), 17–26.

The proportion of sampled families with subsequent abuse allegations was lower than the proportion of families with subsequent neglect allegations (Figure 1). Among the 11,444 sample families, 25.1% had an investigation for neglect during the standardized 18-month follow-up period, and 10.0% were substantiated for neglect. One fifth (20.9%) were investigated for an abuse allegation, and only a small percentage (4.4%) of families were substantiated for abuse.

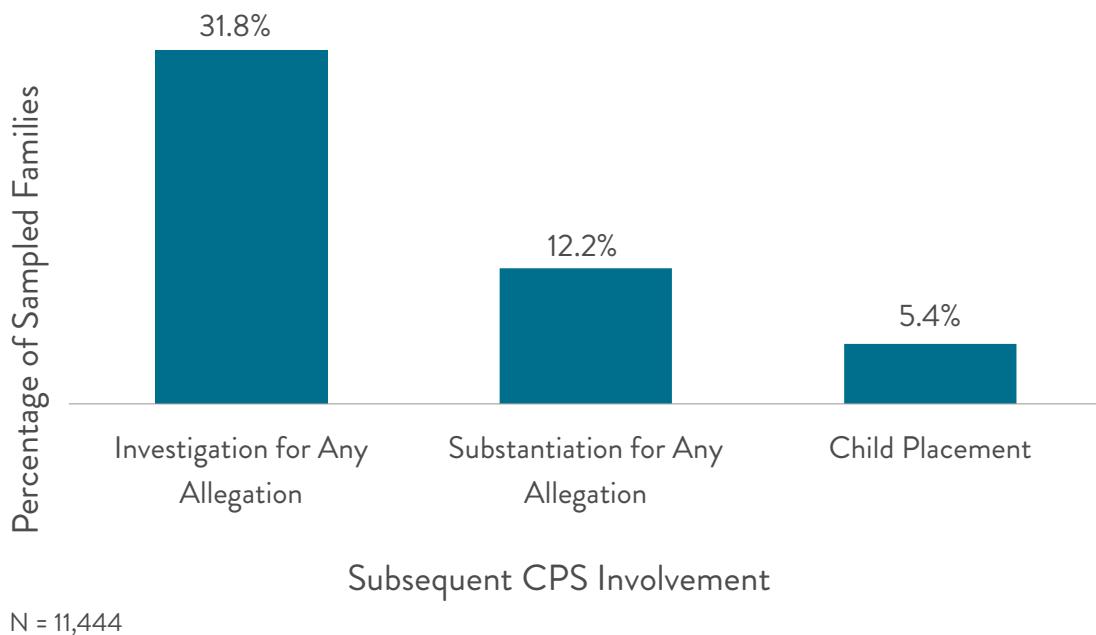
Figure 1

Neglect and Abuse Investigations and Substantiations During the Standardized 18-Month Follow-Up Period



One third (31.8%) of the sampled families were investigated at least once during the standardized 18-month follow-up period (Figure 2). Workers subsequently substantiated maltreatment for 12.2% of these families, and child welfare agency staff subsequently placed a child out of the home for 5.4% of families.

Figure 2  
Subsequent CPS Involvement During the Standardized 18-Month Follow-Up Period



Subsequent CPS involvement varied by the race/ethnicity of the youngest child (Table 4). Families of Asian or Pacific Islander descent had the lowest proportion re-investigated for child maltreatment (21.3%) or with subsequent substantiated allegations (7.8%). Only 3.4% of Asian/Pacific Islander families had a child subsequently placed out of home during the standardized follow-up period. In comparison, 44.0% of Native American families were subsequently investigated for child maltreatment, 20.4% were substantiated for maltreatment, and 12.1% subsequently had a child placed out of the home during the 18-month period. White/European American and Black/African American families had higher-than-average proportions with subsequent CPS involvement, and the proportion among Hispanic/Latino or South/Central American families was lower than average.

**TABLE 4**

**SUBSEQUENT CPS INVOLVEMENT OF SAMPLED FAMILIES BY YOUNGEST CHILD'S  
RACE/ETHNICITY  
DURING A STANDARDIZED 18-MONTH FOLLOW-UP PERIOD**

<b>SAMPLE CHARACTERISTICS</b>	<b>SAMPLE DISTRIBUTION</b>		<b>INVESTIGATION FOR ANY ALLEGATION</b>	<b>SUBSTANTIATION FOR ANY ALLEGATION</b>	<b>CHILD OUT- OF-HOME PLACEMENT</b>
	<b>N</b>	<b>%</b>			
<b>TOTAL SAMPLE</b>	<b>11,444</b>	<b>100.0%</b>	<b>31.8%</b>	<b>12.2%</b>	<b>5.4%</b>
Asian/Pacific Islander	874	7.6%	21.3%	7.8%	3.4%
Black/African American	1,661	14.5%	34.6%	12.5%	5.8%
Hispanic/Latino or South/Central American	4,775	41.7%	29.7%	11.9%	5.0%
White/European American	2,974	26.0%	37.8%	14.5%	6.4%
Native American	470	4.1%	44.0%	20.4%	12.1%
Other/Missing	690	6.0%	19.0%	2.5%	0.3%

Subsequent CPS involvement varied by county (Table 5). Overall, 31.8% of families were re-reported and re-investigated during the standardized period. Among counties with 500 or more families in the sample, the proportion re-investigated ranged between 21.7% and 36.0%. For these same counties, the proportion of subsequent substantiation ranged from 9.3% to 19.0%, and the rate of subsequent child placement ranged from 2.8% to 8.7%. This variation is significant; in some cases, counties had CPS outcome rates twice as high as those of other counties.

**TABLE 5**

**SUBSEQUENT CPS INVOLVEMENT OF SAMPLED FAMILIES BY COUNTY  
DURING A STANDARDIZED 18-MONTH FOLLOW-UP PERIOD**

<b>COUNTY</b>	<b>SAMPLE DISTRIBUTION</b>		<b>INVESTIGATION FOR ANY ALLEGATION</b>	<b>SUBSTANTIATION FOR ANY ALLEGATION</b>	<b>CHILD OUT-OF-HOME PLACEMENT</b>	
	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>
<b>TOTAL</b>	<b>11,444</b>	<b>100.0%</b>	<b>3,641</b>	<b>31.8%</b>	<b>1,391</b>	<b>12.2%</b>
Alameda	138	1.2%	45	32.6%	21	15.2%
Alpine	3	0.0%	0	0.0%	0	0.0%
Calaveras	31	0.3%	12	38.7%	3	9.7%
Del Norte	56	0.5%	15	26.8%	6	10.7%
El Dorado	86	0.8%	29	33.7%	12	14.0%

**TABLE 5**
**SUBSEQUENT CPS INVOLVEMENT OF SAMPLED FAMILIES BY COUNTY  
DURING A STANDARDIZED 18-MONTH FOLLOW-UP PERIOD**

COUNTY	SAMPLE DISTRIBUTION		INVESTIGATION FOR ANY ALLEGATION		SUBSTANTIATION FOR ANY ALLEGATION		CHILD OUT-OF-HOME PLACEMENT	
	N	%	N	%	N	%	N	%
Glenn	12	0.1%	6	50.0%	2	16.7%	1	8.3%
Humboldt	70	0.6%	29	41.4%	12	17.1%	9	12.9%
Inyo	19	0.2%	9	47.4%	4	21.1%	0	0.0%
Kern	506	4.4%	179	35.4%	96	19.0%	44	8.7%
Kings	73	0.6%	22	30.1%	5	6.8%	4	5.5%
Lake	47	0.4%	16	34.0%	2	4.3%	2	4.3%
Lassen	21	0.2%	11	52.4%	2	9.5%	1	4.8%
Los Angeles County	4,811	42.0%	1,509	31.4%	588	12.2%	244	5.1%
Marin	28	0.2%	10	35.7%	5	17.9%	1	3.6%
Mendocino	92	0.8%	45	48.9%	19	20.7%	5	5.4%
Modoc	3	0.0%	2	66.7%	2	66.7%	1	33.3%
Nevada	44	0.4%	11	25.0%	8	18.2%	4	9.1%
Orange	1,059	9.3%	230	21.7%	106	10.0%	30	2.8%
Riverside	1,049	9.2%	378	36.0%	141	13.4%	70	6.7%
Sacramento	934	8.2%	283	30.3%	95	10.2%	44	4.7%
San Benito	16	0.1%	2	12.5%	2	12.5%	1	6.3%
San Diego	1,426	12.5%	465	32.6%	133	9.3%	75	5.3%
San Luis Obispo	65	0.6%	21	32.3%	7	10.8%	2	3.1%
San Mateo	93	0.8%	32	34.4%	7	7.5%	2	2.2%
Santa Cruz	162	1.4%	59	36.4%	28	17.3%	7	4.3%
Shasta	131	1.1%	56	42.7%	27	20.6%	15	11.5%
Siskiyou	58	0.5%	25	43.1%	11	19.0%	7	12.1%
Solano	140	1.2%	39	27.9%	12	8.6%	5	3.6%
Trinity	16	0.1%	5	31.3%	2	12.5%	2	12.5%
Tuolumne	39	0.3%	15	38.5%	8	20.5%	2	5.1%
Ventura	116	1.0%	46	39.7%	12	10.3%	8	6.9%
Yolo	62	0.5%	19	30.6%	3	4.8%	1	1.6%
Yuba	38	0.3%	16	42.1%	10	26.3%	4	10.5%

## D. CHARACTERISTICS OF SAMPLED COUNTIES

Given the variance in rates of subsequent CPS involvement for families across counties, it is not surprising that child protection practices also varied across the sampled counties. Whether a report meets the criteria for possible CA/N, how quickly a worker should begin investigating, and whether a child should be removed from the home are key decisions made by child welfare agency staff during the intake and investigation process. Overall, the counties screened in 68.3% of the reports they recorded for investigation, though the counties' investigation rates varied between 41.1% and 82.2% (see Table 6, column 3). The proportion of accepted referrals recommended for immediate response (within 24 hours) ranged from 12.4% to nearly half (43.7%). The proportion of investigations involving removal of a child ranged from none to 12.9%, with an overall proportion of 8.3% of investigations resulting in a child removal from the home.

Counties also varied in the types of allegations for which families were investigated and the rates at which the county agencies substantiated them (see Table 6, columns 6–8). The proportion of investigations with an allegation of neglect ranged from 43.2% to 92.6%. There were 18 counties with a neglect allegation rate that exceeded 70%, and only two counties had a neglect allegation rate lower than 50%. Similar variance is evident in the proportion experiencing allegations of abuse (27.4% to 75.7%). Abuse was alleged in 50% or more families in 15 counties and 33.7% or less in five counties.

TABLE 6

**SAMPLE COUNTY VARIANCE IN REFERRAL ACTIONS  
FOR REFERRALS RECEIVED JULY 1, 2010 – JUNE 30, 2011**

COUNTY	REFERRALS		INVESTIGATIONS					SUBSTANTIATED/ INCONCLUSIVE INVESTIGATIONS % WITH A COMPLETED RISK ASSESSMENT
	TOTAL REFERRALS RECEIVED	% INVESTIGATED	% IMMEDIATE RESPONSE	% WITH REMOVAL DURING INVESTIGATION	% WITH A NEGLECT ALLEGATION	% WITH AN ABUSE ALLEGATION	% WITH A SUBSTANTIATED ALLEGATION	
<b>All Analysis Counties Statewide</b>								
Overall	243,433	68.3%	31.7%	8.3%	65.5%	59.9%	23.9%	89.9%
Minimum	32	41.1%	12.4%	0.0%	43.2%	27.4%	10.5%	72.9%
Maximum	80,610	82.2%	43.7%	12.9%	92.6%	75.7%	36.1%	100.0%
<b>By County</b>								
Alameda	9,341	44.4%	42.0%	10.5%	43.2%	59.5%	17.4%	75.3%
Alpine	32	56.3%	27.8%	0.0%	83.3%	33.3%	11.1%	100.0%
Calaveras	720	61.5%	16.5%	7.9%	81.0%	33.6%	23.3%	76.0%
Del Norte	941	47.0%	34.2%	10.2%	86.0%	27.4%	24.4%	90.0%
El Dorado	2,438	60.3%	20.9%	5.7%	80.4%	44.9%	21.7%	80.0%
Glenn	553	50.6%	19.3%	8.6%	64.3%	64.6%	22.5%	94.4%
Humboldt	2,395	42.3%	17.4%	10.2%	74.0%	40.9%	15.3%	86.7%
Inyo	460	41.1%	26.5%	2.1%	56.1%	59.3%	17.5%	100.0%
Kern	12,833	58.4%	35.1%	12.9%	86.0%	49.4%	33.3%	89.2%
Kings	2,187	59.5%	34.3%	10.3%	72.5%	39.9%	11.2%	78.7%
Lake	958	49.5%	13.3%	8.2%	78.1%	52.1%	16.7%	89.3%
Lassen	556	67.8%	23.1%	4.5%	81.2%	33.7%	16.4%	79.1%
Los Angeles	80,610	80.1%	39.2%	9.0%	58.3%	70.1%	26.2%	92.0%
Marin	1,969	51.4%	29.3%	3.9%	47.2%	75.7%	17.4%	82.0%
Mendocino	1,657	59.2%	19.1%	8.4%	80.4%	43.9%	28.0%	77.3%
Modoc	215	61.9%	33.1%	4.5%	72.9%	52.6%	10.5%	79.5%

TABLE 6

**SAMPLE COUNTY VARIANCE IN REFERRAL ACTIONS  
FOR REFERRALS RECEIVED JULY 1, 2010 – JUNE 30, 2011**

COUNTY	REFERRALS		INVESTIGATIONS					SUBSTANTIATED/ INCONCLUSIVE INVESTIGATIONS % WITH A COMPLETED RISK ASSESSMENT
	TOTAL REFERRALS RECEIVED	% INVESTIGATED	% IMMEDIATE RESPONSE	% WITH REMOVAL DURING INVESTIGATION	% WITH A NEGLECT ALLEGATION	% WITH AN ABUSE ALLEGATION	% WITH A SUBSTANTIATED ALLEGATION	
Nevada	1,012	58.9%	12.4%	8.2%	67.6%	49.8%	19.1%	81.5%
Orange	17,895	64.5%	21.9%	7.4%	66.2%	45.6%	36.1%	92.4%
Riverside	22,154	82.2%	21.1%	8.2%	92.6%	35.1%	22.7%	94.4%
Sacramento	15,703	62.2%	34.7%	8.1%	71.6%	52.8%	18.9%	89.7%
San Benito	623	69.8%	37.2%	12.6%	66.0%	58.9%	23.4%	78.8%
San Diego	38,419	59.1%	29.6%	6.0%	54.5%	72.7%	18.0%	86.2%
San Luis Obispo	3,361	46.1%	21.3%	7.9%	68.6%	49.4%	22.6%	92.3%
San Mateo	3,391	77.2%	35.1%	4.9%	59.4%	58.3%	11.5%	80.4%
Santa Cruz	2,865	62.9%	43.7%	7.7%	66.5%	62.9%	23.0%	93.2%
Shasta	2,772	67.7%	15.1%	12.1%	80.4%	40.8%	27.1%	89.2%
Siskiyou	781	60.1%	16.6%	8.3%	80.2%	34.5%	31.1%	91.4%
Solano	4,220	53.0%	16.1%	6.4%	61.8%	65.0%	21.8%	92.5%
Trinity	151	64.2%	19.6%	12.4%	60.8%	48.5%	36.1%	98.1%
Tuolumne	730	58.2%	22.4%	10.1%	87.1%	32.5%	24.5%	89.8%
Ventura	8,690	68.0%	16.2%	6.0%	64.4%	61.5%	13.0%	76.5%
Yolo	1,351	64.3%	21.5%	10.0%	76.1%	51.1%	26.4%	83.7%
Yuba <sup>4</sup>	1,450	53.5%	32.3%	7.6%	75.3%	45.0%	26.2%	72.9%

<sup>4</sup> The percent of investigations with a completed risk assessment is below 75% for Yuba County. This table examines all referrals received during the timeframe, and it is not rolled up by family. To choose who to include for the validation study, we examined each family's first investigation and evaluated whether it had a completed risk assessment. Counties with 75% or higher completion were retained for analysis.

It is clear that CPS outcome rates varied significantly by family race/ethnicity and county (see Tables 4–6). In addition, the counties in this study showed considerable variation in CPS practices relative to child maltreatment intake screening, allegation types reported, and investigation findings. All of these factors may influence the performance of a risk assessment, particularly its ability to demonstrate comparable estimates of future maltreatment across subgroups.

## E. CURRENT FAMILY RISK ASSESSMENT

The risk assessment currently in use by the sampled California counties helps workers to observe specific characteristics of families and children investigated for CA/N and objectively estimate the risk of future child maltreatment. At the close of the investigation, a worker completes the 12-item neglect index and the 11-item abuse index. These scores determine an initial risk classification for abuse and neglect for each family, i.e., low, moderate, high, or very high risk. The final classification level assigned to the family is the higher risk classification reached by either the abuse or neglect risk indices. For example, a family scoring low risk for future abuse and high risk for future neglect would have a final classification of high risk.

The purpose of a scored actuarial risk classification is to help the worker and the agency prioritize service interventions according to the risk of future maltreatment. Focusing service provision and worker time on families at higher risk of future child maltreatment is likely to help the agency achieve its mission to reduce future occurrences of CA/N among investigated families. Actuarial risk assessment provides workers with an estimate of future family behavior based on a limited set of observable factors. It helps workers to identify high-risk families more accurately and thereby allocate available service interventions more effectively. It is important to note, however, that actuarial risk assessment is a classification instrument designed to identify groups of families with low, moderate, high, or very high rates of subsequent maltreatment. It does not yield infallible predictions for individual families.

Because actuarial risk assessment cannot address all aspects of an individual family case, CDSS CWS established policy reasons for overriding the scored risk level. If any of the case circumstances described by agency override policies (see the current risk assessment on the following pages) apply to a family, the family is assigned to the very high risk classification, regardless of the scored risk level.

**CALIFORNIA  
FAMILY RISK ASSESSMENT**

r: 09-12

Referral Name: \_\_\_\_\_ Referral #: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

County Name: \_\_\_\_\_ Worker Name: \_\_\_\_\_ Worker ID#: \_\_\_\_\_

<b>NEGLECT</b>	<b>Score</b>	<b>ABUSE</b>	<b>Score</b>
N1. Current Report Is for Neglect		A1. Current Report Is for Physical Abuse	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N2. Prior Investigations ( <i>assign highest score that applies</i> )		A2. Number of Prior Investigations	
a. None.....-1		a. None .....-1	
b. One or more, <u>abuse only</u> .....1		b. One or more, neglect only .....0	
c. One or two for <u>neglect</u> .....2		c. One for abuse .....1	
d. Three or more for <u>neglect</u> .....3		d. Two or more for abuse .....2	
N3. Household Has Previously Received CPS ( <i>voluntary/court ordered</i> )		A3. Household Has Previously Received CPS ( <i>voluntary/court ordered</i> )	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N4. Number of Children Involved in the Child Abuse/Neglect Incident		A4. Prior Physical Injury to a Child Resulting from Child Abuse/Neglect or Prior Substantiated Physical Abuse to a Child	
a. One, two, or three.....0		a. None/not applicable .....0	
b. Four or more.....1		b. One or more apply .....1	
□ Prior physical injury to a child resulting from CA/N □ Prior substantiated physical abuse of a child			
N5. Age of Youngest Child in the Home		A5. Number of Children Involved in the Child Abuse/Neglect Incident	
a. Two or older.....0		a. One, two, or three .....0	
b. Under two.....1		b. Four or more .....1	
N6. Characteristics of Children in Household ( <i>add for score</i> )		A6. Characteristics of Children in Household ( <i>score 1 if any present</i> )	
a. Not applicable .....0		a. Not applicable .....0	
b. One or more present ( <i>mark all applicable and add</i> )		b. One or more present ( <i>mark all applicable</i> ) .....1	
□ Developmental, learning, or physical disability.....1		□ Delinquency history □ Developmental disability □ Learning disability □ Mental health or behavioral problem	
□ Developmental .....0 □ Learning .....0 □ Physical .....0			
□ Medically fragile or failure to thrive .....1			
□ Mental health or behavioral problem .....1			
N7. Primary Caregiver Provides Physical Care of the Child That Is:		A7. Two or More Incidents of Domestic Violence in the Household in the Past Year	
a. Consistent with child needs .....0		a. No .....0	
b. Inconsistent with child needs .....1		b. Yes .....1	
N8. Primary Caregiver Has a History of Abuse or Neglect as a Child		A8. Primary Caregiver Employs Excessive/Inappropriate Discipline	
a. No .....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N9. Primary Caregiver Has/Had a Mental Health Problem		A9. Primary Caregiver Is Domineering	
a. No .....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N10. Primary Caregiver Has/Had an Alcohol and/or Drug Problem		A10. Primary Caregiver Has a History of Abuse or Neglect as a Child	
a. None/not applicable .....0		a. No .....0	
b. One or more apply ( <i>mark all applicable</i> ) .....2		b. Yes .....1	
□ Alcohol (□ Last 12 months and/or □ Prior to the last 12 months) □ Drugs (□ Last 12 months and/or □ Prior to the last 12 months) □ Marijuana .....0 □ Methamphetamine .....0 □ Heroin .....0 □ Cocaine .....0 □ Other: _____			
N11. Primary Caregiver Has Criminal Arrest History		A11. Primary Caregiver Has/Had a Mental Health Problem	
a. No .....0		a. No .....0	
b. Yes .....1		b. One or more apply .....1	
□ During the last 12 months □ Prior to the last 12 months			
N12. Current Housing			
a. Not applicable .....0			
b. One or more apply .....1			
□ Physically unsafe, AND/OR □ Family homeless			

**TOTAL NEGLECT RISK SCORE** \_\_\_\_\_

**TOTAL ABUSE RISK SCORE** \_\_\_\_\_

**SCORED RISK LEVEL.** Assign the family=s scored risk level based on the highest score on either the neglect or abuse indices, using the following chart:

<b>Neglect Score</b>	<b>Abuse Score</b>	<b>Scored Risk Level</b>
□ -1-1	□ -1-0	□ Low
□ 2-5	□ 1-3	□ Moderate
□ 6-8	□ 4-6	□ High
□ 9 +	□ 7 +	□ Very High

**POLICY OVERRIDES.** Mark yes if a condition shown below is applicable in this case. If any condition is applicable, override the final risk level to very high.

Yes  No 1. Sexual abuse case AND the perpetrator is likely to have access to the child.

Yes  No 2. Non-accidental injury to a child under age two years.

Yes  No 3. Severe non-accidental injury.

Yes  No 4. Caregiver action or inaction resulted in the death of a child due to abuse or neglect (previous or current).

**DISCRETIONARY OVERRIDE.** If a discretionary override is made, mark yes, increase risk by one level, and indicate reason.

Yes  No 5. If yes, override risk level (mark one):  Moderate  High  Very High

Discretionary override reason: \_\_\_\_\_

Supervisor's Review/Approval of Discretionary Override: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**FINAL RISK LEVEL** (mark final level assigned):  Low  Moderate  High  Very High

**RECOMMENDED DECISION**

Final Risk Level	Recommendation
Low	Do Not Promote*
Moderate	Do Not Promote*
High	Promote
Very High	Promote

\*Unless there are unresolved dangers.

**PLANNED ACTION:**

Promote  
 Do Not Promote

If recommended decision and planned action do not match, explain why:

---

---

**SUPPLEMENTAL ITEMS**

Note: These items should be recorded, but are not scored.

1. Primary caregiver characteristics:

Yes   No

a.   Blames child  
b.   Provides insufficient emotional/psychological support

2. Secondary caregiver characteristics:

No secondary caregiver

Yes   No

a.   Has history of abuse/neglect as a child  
b.   Has/had mental health problem  
c.   Has/had an alcohol and/or drug problem (*mark all applicable*)  
     During the last 12 months    Prior to the last 12 months  
     Alcohol ( Last 12 months and/or  Prior 12 months)  
     Drugs ( Last 12 months and/or  Prior 12 months)  
         Marijuana    Methamphetamine    Heroin    Cocaine  
         Other: \_\_\_\_\_  
d.   Employs excessive/inappropriate discipline  
e.   Domineering  
f.   Secondary caregiver has criminal arrest history

CDSS CWS enables investigating workers and supervisors to exercise a discretionary override that increases the scored classification by one level (shown on the form). Discretionary overrides are based on a worker's professional judgment and observation of each family. Whether workers exercise a discretionary override or not, their decisions will be informed by a scored actuarial risk classification that has a strong empirical relationship to the incidence of future maltreatment.

After applying overrides to the scored risk level, the worker reaches the family's final risk level, which guides the decision to close the investigation or promote the family to a case. In general, low- and moderate-risk families are recommended for closure unless there are unresolved safety threats, while high- and very high-risk cases are recommended for case opening (Table 7).

TABLE 7	
RISK-BASED CASE OPEN/CLOSE GUIDE	
RISK LEVEL	RECOMMENDATION
Low	Close*
Moderate	Close*
High	Open
Very High	Open

\*When unresolved safety threats are still present at the end of the investigation, the referral should be promoted to a case regardless of risk level.

The final risk level also informs the ongoing worker of minimum contact guidelines for each family that is promoted to a case. Each increase in risk level corresponds with an increase in contact frequency (Table 8a and Table 8b). For example, a low-risk family promoted to an in-home case should have one face-to-face contact per month and one collateral contact in the caregiver's residence, whereas a very high-risk family should have four face-to-face contacts and four collateral contacts per month, two of which must be in the caregiver's residence.

TABLE 8A		
ONGOING WORKER MINIMUM CONTACT GUIDELINES FOR IN-HOME SERVICES		
RISK LEVEL	CAREGIVER AND CHILD CONTACTS	LOCATION
Low	One face-to-face visit per month with caregiver and child  One collateral contact	Must be in caregiver's residence

**TABLE 8A**  
**ONGOING WORKER MINIMUM CONTACT GUIDELINES**  
**FOR IN-HOME SERVICES**

RISK LEVEL	CAREGIVER AND CHILD CONTACTS	LOCATION
Moderate	Two face-to-face visits per month with caregiver and child  Two collateral contacts	One must be in caregiver's residence
High	Three face-to-face visits per month with caregiver and child  Three collateral contacts	One must be in caregiver's residence
Very High	Four face-to-face visits per month with caregiver and child  Four collateral contacts	Two must be in caregiver's residence
<b>Additional Considerations</b>		
Contact Definition	Each required contact shall include at least one caregiver and one child. During the course of a month, each caregiver and each child in the household shall be contacted at least once.	
Designated Contacts	The ongoing worker/supervisor/service team may delegate face-to-face contacts to providers with a contractual relationship to the agency and/or other agency staff such as social work aids. However, the ongoing worker must always maintain at least one face-to-face contact with the caregiver and child per month, as well as monthly contact with the service provider designated to replace the ongoing worker's face-to-face contacts.	

**TABLE 8B**  
**CONTACT GUIDELINES FOR FAMILY REUNIFICATION CASES**

RISK LEVEL	DOCUMENTED CONTACTS WITH CAREGIVER
Low	One face-to-face visit per month with caregiver  One collateral contact
Moderate	Two face-to-face visits per month with caregiver  Two collateral contacts
High	Three face-to-face visits per month with caregiver  Three collateral contacts

**TABLE 8B**

<b>CONTACT GUIDELINES FOR FAMILY REUNIFICATION CASES</b>	
<b>RISK LEVEL</b>	<b>DOCUMENTED CONTACTS WITH CAREGIVER</b>
Very High	Three face-to-face visits per month with caregiver Three collateral contacts
	Documented Contacts With Children At least one face-to-face per month with each child
<b>Additional Considerations</b>	
Contact Definition	During the course of a month, each caregiver and each child shall be contacted at least once.
Designated Contacts	The ongoing worker must always maintain at least one face-to-face contact per month with the caregiver. However, the ongoing worker may delegate remaining contacts to service providers outlined in the case plan or other agency staff.
Overrides	A discretionary override to these contact guidelines is permitted based on unique case circumstances that are documented by the ongoing worker and approved by the supervisor. All case contacts must at least meet Division 31 regulations.

The following section describes how well the risk assessment estimated future maltreatment among families investigated by child welfare agency staff. This analysis references the risk classification resulting from item scoring rather than the risk classification after overrides because the focus is on the predictive validity of the scored risk assessment.

## IV. FINDINGS

The following analyses observed case outcomes for the scored risk classification completed by workers for each sample family. As mentioned previously, outcomes for each family were observed for an 18-month period following the sample investigation to assess subsequent CPS involvement after the risk assessment was completed. Subsequent neglect investigation and substantiation rates are reported for the scored neglect classification, subsequent abuse rates are reported for the scored abuse classification, and overall rates of subsequent investigation or maltreatment substantiation are shown for the overall risk classification (before any overrides).

## A. CURRENT FAMILY RISK ASSESSMENT CLASSIFICATION FINDINGS

A valid risk assessment classifies families into risk categories with progressively higher rates of subsequent CPS involvement. Ideally, the rates between consecutive risk levels maximize the separation between the high- and low-risk groups as well as between consecutive risk groups. In other words, each increase in risk level should correspond to a significant increase in subsequent CPS investigation, substantiated maltreatment, and subsequent child placement by child welfare agency staff.

### 1. CURRENT FAMILY RISK ASSESSMENT CLASSIFICATION FINDINGS FOR NEGLECT

Table 9 shows the proportion of families with a follow-up neglect investigation as classified by the current neglect instrument. One third (33.6%) of families were classified as low risk, while 42.5% of families were classified as moderate risk, 17.3% as high risk, and 6.6% as very high risk.

Within 18 months after the initial classification was assigned, 25.1% of the sampled families were investigated for a neglect allegation on at least one occasion. Of the families classified as low risk, 12.1% were subsequently investigated for neglect. Families classified as moderate risk of neglect had a neglect re-investigation rate of 27.6%, high-risk families had a rate of 37.8%, and very high-risk families had a rate of 42.5%. The neglect index risk assessment performed as expected in that an increase in the neglect risk level corresponded to an increase in the subsequent neglect investigation rate.

The current risk assessment of neglect performed similarly when the outcome was subsequent substantiation for a neglect allegation. Only 4.0% of sampled families assigned to the low risk classification had neglect substantiated during the follow-up period, compared to 10.3% of moderate-risk families, 16.7% of high-risk families, and 20.8% of very high-risk families.

**TABLE 9****CURRENT RISK OF NEGLECT CLASSIFICATION BY NEGLECT OUTCOMES**

NEGLECT RISK LEVEL	SAMPLE		SUBSEQUENT NEGLECT INVESTIGATION		SUBSEQUENT NEGLECT SUBSTANTIATION		SUBSEQUENT NEGLECT INVESTIGATION WITH REMOVAL	
	N	%	N	%	N	%	N	%
Low	3,848	33.6%	465	12.1%	153	4.0%	54	1.4%
Moderate	4,864	42.5%	1,341	27.6%	502	10.3%	235	4.8%
High	1,979	17.3%	748	37.8%	330	16.7%	181	9.1%
Very High	753	6.6%	320	42.5%	157	20.8%	96	12.7%
<b>TOTAL SAMPLE</b>	<b>11,444</b>	<b>100.0%</b>	<b>2,874</b>	<b>25.1%</b>	<b>1,142</b>	<b>10.0%</b>	<b>566</b>	<b>4.9%</b>

**2. CURRENT FAMILY RISK ASSESSMENT CLASSIFICATION FINDINGS FOR ABUSE**

The risk assessment performed similarly when classifying families by their likelihood of subsequent abuse (Table 10). More than one third (39.4%) of the sampled families were classified as low risk, 45.0% as moderate risk, and 14.1% as high risk. Only 169 (1.5%) families classified as having a very high risk of abuse, which makes the evaluation of findings for this group difficult.

Among the 4,514 families classified as low risk, 13.4% were subsequently investigated for abuse allegations. Families classified as moderate, high, and very high risk had progressively higher follow-up abuse investigation rates of 22.3%, 35.7%, and 40.2%, respectively. The risk assessment performed as expected in that an increase in the abuse risk level corresponded to an increase in the rate of subsequent abuse investigation.

The same pattern can be observed when the outcome is subsequent abuse substantiation. Families classified as having a low risk of abuse had a follow-up abuse substantiation rate of 2.3%. In comparison, moderate-risk families had a rate of 4.9% and high-risk families a rate of 8.5%. Families classified as very high risk had a slightly lower, but nearly the same abuse substantiation rate as high-risk families (8.3%). The low number of families in the very high risk category, however, makes this finding difficult to evaluate.

**TABLE 10****CURRENT RISK OF ABUSE CLASSIFICATION BY ABUSE OUTCOMES**

ABUSE RISK LEVEL	SAMPLE		SUBSEQUENT ABUSE INVESTIGATION		SUBSEQUENT ABUSE SUBSTANTIATION		SUBSEQUENT ABUSE INVESTIGATION WITH REMOVAL	
	N	%	N	%	N	%	N	%
Low	4,514	39.4%	606	13.4%	106	2.3%	53	1.2%
Moderate	5,152	45.0%	1,148	22.3%	252	4.9%	149	2.9%
High	1,609	14.1%	574	35.7%	136	8.5%	103	6.4%
Very High	169	1.5%	68	40.2%	14	8.3%	11	6.5%
<b>TOTAL SAMPLE</b>	<b>11,444</b>	<b>100.0%</b>	<b>2,396</b>	<b>20.9%</b>	<b>508</b>	<b>4.4%</b>	<b>316</b>	<b>2.8%</b>

### **3. CURRENT FAMILY RISK ASSESSMENT CLASSIFICATION FINDINGS FOR ANY MALTREATMENT**

As mentioned previously, the overall risk classification is the highest risk level assigned by the abuse or neglect index. This classification establishes a risk level that estimates the likelihood of subsequent maltreatment of any kind (i.e., either abuse or neglect) and is used by agencies to inform case opening decisions and contact guidelines for families promoted to case services.

Table 11 and Figure 3 report the follow-up investigation, substantiation, and child placement rates by the overall classification obtained by the current family risk assessment. During the 18 months following the sampled investigation, 31.8% of families had at least one investigation for a maltreatment report. Among families classified as low risk, 16.9% had a follow-up investigation. Families classified as moderate risk had a subsequent investigation rate of 31.3%. Families classified as high or very high risk had progressively higher rates (43.3% and 49.4%, respectively) of subsequent investigation for abuse or neglect.

When the outcome was subsequent substantiation for abuse or neglect, the findings retained the same pattern. Families classified as low risk had a rate of 5.2%, while the corresponding rate was 11.3% for moderate risk, 17.8% for high risk, and 22.9% for very high risk.

The overall risk classification also demonstrated good discrimination by subsequent placement of a child. Only 1.5% of families classified as low risk had a subsequent child placement, compared to 4.4% of moderate-risk families, 8.8% of high-risk families, and 13.4% of very high-risk families.

**TABLE 11**

OVERALL RISK LEVEL	SAMPLE		SUBSEQUENT INVESTIGATION		SUBSEQUENT SUBSTANTIATION		SUBSEQUENT INVESTIGATION WITH REMOVAL	
	N	%	N	%	N	%	N	%
Low	2,840	24.8%	481	16.9%	149	5.2%	42	1.5%
Moderate	5,130	44.8%	1,605	31.3%	579	11.3%	227	4.4%
High	2,623	22.9%	1,135	43.3%	468	17.8%	232	8.8%
Very High	851	7.4%	420	49.4%	195	22.9%	114	13.4%
<b>TOTAL SAMPLE</b>	<b>11,444</b>	<b>100.0%</b>	<b>3,641</b>	<b>31.8%</b>	<b>1,391</b>	<b>12.2%</b>	<b>615</b>	<b>5.4%</b>

#### **4. CURRENT RISK ASSESSMENT CLASSIFICATION FINDINGS BY THE INVESTIGATION DISPOSITION**

Table 12 shows the overall risk assessment classification findings by workers' substantiation decision for the sampled investigation (inconclusive or substantiated). A greater proportion of families with a substantiated allegation were classified as high or very high risk. More than one fourth (26.2%) of families substantiated at the time of the sampled incident classified as high risk, and an additional 10.6% classified as very high risk. In comparison, 19.0% of families with an inconclusive finding classified as high risk and 3.7% classified as very high risk.

For each of the three CPS outcomes observed, an increase in the risk classification corresponds to an increase in the outcome rate for families regardless of the sampled investigation's disposition. When the outcome was subsequent substantiation or subsequent child placement, outcome rates within a risk classification were similar for families whether the sample incident was substantiated or not. For example, 4.6% of low-risk families with an inconclusive finding had a subsequent substantiated child maltreatment incident during the standardized 18-month follow-up period, compared to 5.9% of substantiated low-risk families. The corresponding rates for moderate-risk families were 11.4% for inconclusive and 11.1% for substantiated families. The rates for high-risk families were 19.7% for inconclusive and 16.7% for substantiated families, while subsequent substantiation rates for very high-risk families were 25.1% for inconclusive and 22.3% for substantiated families.

Similar findings were observed when the outcome was subsequent child placement. For example, the placement rate for inconclusive families classified as very high risk was 15.4%, while the rate for substantiated, very high-risk families was 12.8%.

**TABLE 12****CURRENT OVERALL RISK CLASSIFICATION AND SUBSEQUENT MALTREATMENT OUTCOMES BY INVESTIGATION DISPOSITION**

<b>OVERALL RISK LEVEL</b>	<b>SAMPLE DISTRIBUTION</b>		<b>SUBSEQUENT INVESTIGATION</b>		<b>SUBSEQUENT SUBSTANTIATION</b>		<b>SUBSEQUENT INVESTIGATION WITH REMOVAL</b>	
	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>
<b>TOTAL SAMPLE</b>	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
<b>Inconclusive for Current Allegations</b>								
Low	1,510	28.8%	243	16.1%	70	4.6%	23	1.5%
Moderate	2,547	48.5%	830	32.6%	291	11.4%	119	4.7%
High	997	19.0%	482	48.3%	196	19.7%	96	9.6%
Very High	195	3.7%	107	54.9%	49	25.1%	30	15.4%
<b>Subtotal</b>	<b>5,249</b>	<b>100.0%</b>	<b>1,662</b>	<b>31.7%</b>	<b>606</b>	<b>11.5%</b>	<b>268</b>	<b>5.1%</b>
<b>Substantiated for Current Allegations</b>								
Low	1,330	21.5%	238	17.9%	79	5.9%	19	1.4%
Moderate	2,583	41.7%	775	30.0%	288	11.1%	108	4.2%
High	1,626	26.2%	653	40.2%	272	16.7%	136	8.4%
Very High	656	10.6%	313	47.7%	146	22.3%	84	12.8%
<b>Subtotal</b>	<b>6,195</b>	<b>100.0%</b>	<b>1,979</b>	<b>31.9%</b>	<b>785</b>	<b>12.7%</b>	<b>347</b>	<b>5.6%</b>

## 5. CURRENT RISK ASSESSMENT CLASSIFICATION FINDINGS BY RACE/ETHNICITY OF YOUNGEST CHILD

Table 13 compares risk assessment classification findings by the race/ethnicity of the youngest child in the household. The distribution of families by risk level classification was similar for White/European American and Black/African American families (see Table 12, columns two and three). For example, among Black/African American and White/European American families, approximately 27% to 29% of families classified as high risk and approximately 10% as very high risk. A lower proportion of Hispanic/Latino or South/Central American and Asian/Pacific Islander families classified as high (20.0% and 12.4%, respectively) and very high risk (5.6% and 3.1%, respectively). More than half (54.3%) of the Native American families classified as high risk (38.3%) or very high risk (16.0%).

With one exception, an increase in the risk classification corresponded to an increase in the CPS outcome rate for families in every ethnic group. For example, among Hispanic/Latino or South/Central American families, the subsequent substantiation rate was 5.0% for low-risk, 11.8% for moderate-risk, 18.4% for high-risk, and 25.0% for very high-risk families. The only exception to this pattern was Native American

families, whose re-investigation and subsequent substantiation rates for very high-risk families were lower than the corresponding rates for high-risk families. This is explained in part by the higher outcome base rate of Native American families, which is double that of Asian/Pacific Islander families.

Among White/European American, Black/African American, and Hispanic/Latino or South/Central American families, rates within each risk classification were also similar. For example, 13.3% of White/European American families classified as moderate risk were substantiated during the standardized 18-month follow-up period, compared to 11.8% of moderate-risk Hispanic/Latino or South/Central American and 11.0% of moderate-risk Black/African American families. Very high-risk Asian/Pacific Islander families, however, had re-investigation and subsequent child placement rates similar to those of high-risk families of the other four main ethnic groups; moderate-risk Native American families had outcome rates similar to high-risk families from other ethnic groups. This observation is known as “crossover,” and an assessment working equitably for different subgroups should have little or no crossover.

**TABLE 13**

OVERALL RISK LEVEL	SAMPLE DISTRIBUTION		SUBSEQUENT INVESTIGATION		SUBSEQUENT SUBSTANTIATION		SUBSEQUENT INVESTIGATION WITH REMOVAL	
	N	%	N	%	N	%	N	%
<b>TOTAL SAMPLE</b>	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
<b>Asian/Pacific Islander</b>								
Low	320	36.6%	43	13.4%	14	4.4%	5	1.6%
Moderate	419	47.9%	94	22.4%	30	7.2%	11	2.6%
High	108	12.4%	37	34.3%	16	14.8%	8	7.4%
Very High	27	3.1%	12	44.4%	8	29.6%	6	22.2%
<b>Subtotal</b>	<b>874</b>	<b>100.0%</b>	<b>186</b>	<b>21.3%</b>	<b>68</b>	<b>7.8%</b>	<b>30</b>	<b>3.4%</b>
<b>Black/African American</b>								
Low	279	16.8%	40	14.3%	10	3.6%	3	1.1%
Moderate	721	43.4%	236	32.7%	79	11.0%	36	5.0%
High	492	29.6%	213	43.3%	78	15.9%	37	7.5%
Very High	169	10.2%	86	50.9%	41	24.3%	21	12.4%
<b>Subtotal</b>	<b>1,661</b>	<b>100.0%</b>	<b>575</b>	<b>34.6%</b>	<b>208</b>	<b>12.5%</b>	<b>97</b>	<b>5.8%</b>

TABLE 13

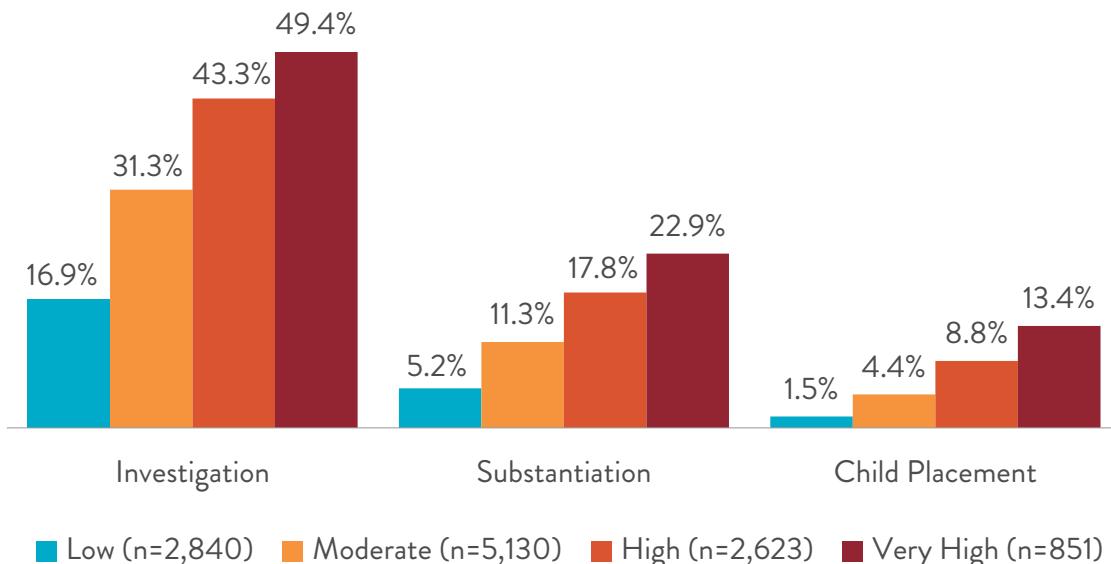
## CURRENT OVERALL RISK CLASSIFICATION AND SUBSEQUENT MALTREATMENT OUTCOMES BY ETHNICITY

OVERALL RISK LEVEL	SAMPLE DISTRIBUTION		SUBSEQUENT INVESTIGATION		SUBSEQUENT SUBSTANTIATION		SUBSEQUENT INVESTIGATION WITH REMOVAL	
	N	%	N	%	N	%	N	%
<b>Hispanic/Latino or South/Central American</b>								
Low	1,354	28.4%	241	17.8%	68	5.0%	14	1.0%
Moderate	2,199	46.1%	648	29.5%	259	11.8%	96	4.4%
High	954	20.0%	396	41.5%	176	18.4%	89	9.3%
Very High	268	5.6%	134	50.0%	67	25.0%	40	14.9%
<b>Subtotal</b>	<b>4,775</b>	<b>100.0%</b>	<b>1,419</b>	<b>29.7%</b>	<b>570</b>	<b>11.9%</b>	<b>239</b>	<b>5.0%</b>
<b>White/European American</b>								
Low	571	19.2%	116	20.3%	44	7.7%	14	2.5%
Moderate	1,306	43.9%	492	37.7%	174	13.3%	66	5.1%
High	800	26.9%	369	46.1%	150	18.8%	73	9.1%
Very High	297	10.0%	146	49.2%	64	21.5%	37	12.5%
<b>Subtotal</b>	<b>2,974</b>	<b>100.0%</b>	<b>1,123</b>	<b>37.8%</b>	<b>432</b>	<b>14.5%</b>	<b>190</b>	<b>6.4%</b>
<b>Native American</b>								
Low	54	11.5%	15	27.8%	9	16.7%	6	11.1%
Moderate	161	34.3%	68	42.2%	31	19.3%	17	10.6%
High	180	38.3%	89	49.4%	42	23.3%	24	13.3%
Very High	75	16.0%	35	46.7%	14	18.7%	10	13.3%
<b>Subtotal</b>	<b>470</b>	<b>100.0%</b>	<b>207</b>	<b>44.0%</b>	<b>96</b>	<b>20.4%</b>	<b>57</b>	<b>12.1%</b>
<b>Other/Missing</b>								
Low	262	38.0%	26	9.9%	4	1.5%	0	0.0%
Moderate	324	47.0%	67	20.7%	6	1.9%	1	0.3%
High	89	12.9%	31	34.8%	6	6.7%	1	1.1%
Very High	15	2.2%	7	46.7%	1	6.7%	0	0.0%
<b>Subtotal</b>	<b>690</b>	<b>100.0%</b>	<b>131</b>	<b>19.0%</b>	<b>17</b>	<b>2.5%</b>	<b>2</b>	<b>0.3%</b>

## 6. SUMMARY OF CURRENT RISK ASSESSMENT CLASSIFICATION FINDINGS

The current risk assessment performed well when distinguishing between families classified at low, moderate, high, and very high risk of subsequent substantiated maltreatment. For all CPS outcomes (investigation, substantiation, and child placement) and among most sample subgroups, the recidivism rates observed among low-risk families were significantly lower than those of families classified at higher risk levels. For example, 5.2% of families classified as low risk had a subsequent substantiation during the 18-month follow-up period, a rate much lower than the average (12.2%) for the entire sample. Families classified as moderate risk had a subsequent substantiation rate of 11.3%, high-risk families a rate of 17.8%, and very high-risk families had a rate of 22.9% (see Figure 3). An increase in risk from low to moderate and moderate to high corresponded to more than a 35% increase in the re-investigation rate (only a 14% increase between high and very high risk); for instance, 43.3% of high-risk families had a subsequent investigation compared to 31.3% of moderate-risk families, representing an increase of 38%. Similarly, an increase in risk level from low to moderate and moderate to high corresponded to at least a 55% increase in the subsequent substantiation rate (only a 28% increase between high and very high risk), and nearly a twofold increase in the child placement rate (a 52% increase between high and very high risk).

Figure 3  
CPS Outcomes During the 18-Month Follow-Up Period by Current Risk Classification



Although the current risk assessment classified families overall with reasonable accuracy, results suggest that performance could be improved. For example, there was a less pronounced difference in outcome rates for high- and very high-risk families (i.e., outcome rates were elevated for very high-risk families, but not much higher than outcome rates for high-risk families). This pattern was observed on both the abuse and neglect indices, individually, as well as for the overall scored risk level. It is desirable to have more distinction between high- and very high-risk families than that which is currently observed. Also, the current assessment did not differentiate between moderate-, high-, and very high-risk Native American families very well (see Table 13). More than 50% of Native American families were classified as high or very high risk. This is particularly problematic given that outcome rates did not significantly differ from those of moderate-risk Native American families.

## B. DEVELOPMENT OF THE PROPOSED RISK ASSESSMENT

To determine whether or not the current classification findings could be improved upon, Evident Change conducted independent risk-factor analyses to guide risk assessment construction. This began with examining the relationships between the family case characteristics that workers observed and recorded in CWS/CMS at the time of the sample investigation and the family's subsequent CPS involvement. This includes risk factors recorded by workers, allegations of abuse and neglect made at the time of the sample incident, and CPS involvement of families prior to the sample incident. Individual items were selected for inclusion in the abuse or neglect assessment based on their statistical association with subsequent maltreatment.

This first step was based on correlations and cross-tabulations between each potential risk factor available for study and each outcome measure. The primary maltreatment outcome was subsequent investigation, for the reasons articulated previously. Risk factors that demonstrated a significant statistical association with any CPS outcome were included in regression analyses. Stepwise regression analyses informed the combination of risk factors tested for construction, and risk item weights were determined by assessing their bivariate and multivariate relationships to maltreatment outcome measures. Because the assessment must be completed by workers under field conditions, the ease of observing and reliably scoring case characteristics was also considered in the selection of revised instrument items. After a preliminary assessment was developed, it was tested against outcomes to determine optimal cut-off points for classification categories and to evaluate its classification capabilities. This risk assessment was then applied to the validation sample to examine classification findings with a different sample.

This revalidation effort resulted in a proposed risk assessment that employs similar risk factors to the current one. The proposed neglect risk index, for example, lowers the score assigned to prior neglect history, separates out prior abuse history, distinguishes between families that received CPS in the past versus currently, makes child characteristics a one-point item rather than a summative item, removes the item related to the primary caregiver's physical care of the child, and adds evaluation of the secondary caregiver

to the primary caregiver characteristics items (history of abuse or neglect as a child, mental health, alcohol/drug problem, criminal arrest history). The proposed abuse risk index expands the current report items to include emotional abuse, alters the scoring for number of prior abuse investigations (see item A2), separates out prior neglect history, distinguishes between families that received CPS in the past versus currently, eliminates delinquency history from the child characteristics and the “primary caregiver is domineering” item, adds “primary caregiver blames child,” adds evaluation of the secondary caregiver to the primary caregiver characteristics items (history of abuse or neglect as a child and mental health), and adds an item regarding primary and/or secondary caregiver substance abuse.

**CALIFORNIA  
PROPOSED FAMILY RISK ASSESSMENT**

r: 07-13

**Referral Name:** \_\_\_\_\_ **Referral #:** \_\_\_\_\_ **Date:** \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**County Name:** \_\_\_\_\_ **Worker Name:** \_\_\_\_\_ **Worker ID#:** \_\_\_\_\_

<b>NEGLECT</b>	<b>Score</b>	<b>ABUSE</b>	<b>Score</b>
N1. Current Report Is for Neglect		A1. Current Report Is for Physical or Emotional Abuse	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N2. Two or More Prior Neglect Investigations ( <i>assign highest score that applies</i> )		A2. Two or More Prior Abuse Investigations	
a. Fewer than two prior neglect investigations .....0		a. Fewer than two prior abuse investigations .....0	
b. Two prior neglect investigations .....1		b. Two prior abuse investigations .....1	
c. Three prior neglect investigations .....2 _____		c. Three or more prior abuse investigations .....2 _____	
N3. Any Prior Investigation for Abuse		A3. Any Prior Investigation for Neglect	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N4. Household Has Previously Received CPS ( <i>voluntary/court ordered</i> )		A4. Household Has Previously Received CPS ( <i>voluntary/court ordered</i> )	
a. No.....0		a. No .....0	
b. Yes, previously but not currently .....1		b. Yes, Previously but Not Currently .....1	
c. Yes, household currently receiving CPS .....2 _____		c. Yes, Household Currently Receiving CPS .....2 _____	
N5. Number of Children Involved in the Child Abuse/Neglect Incident		A5. Prior Physical Injury to a Child Resulting From Child Abuse/Neglect or Prior Substantiated Physical Abuse to a Child	
a. One, two, or three.....0		a. None/not applicable .....0	
b. Four or more .....1 _____		b. One or more apply .....1	
<input type="checkbox"/> Prior physical injury to a child resulting from CA/N		<input type="checkbox"/> Prior physical injury to a child resulting from CA/N	
<input type="checkbox"/> Prior substantiated physical abuse of a child		<input type="checkbox"/> Prior substantiated physical abuse of a child	
N6. Age of Youngest Child in the Home		A6. Number of Children Involved in the Child Abuse/Neglect Incident	
a. Two or older .....0		a. One, two, or three .....0	
b. Younger than two .....1 _____		b. Four or more .....1 _____	
N7. Characteristics of Children in Household		A7. Characteristics of Children in Household ( <i>score 1 if any present</i> )	
a. Not applicable .....0		a. Not applicable .....0	
b. One or more present .....1		b. One or more present ( <i>mark all applicable</i> ) .....1	
<input type="checkbox"/> Developmental, learning, or physical disability		<input type="checkbox"/> Developmental disability	
<input type="checkbox"/> Developmental <input type="checkbox"/> Learning <input type="checkbox"/> Physical		<input type="checkbox"/> Learning disability	
<input type="checkbox"/> Medically fragile or failure to thrive		<input type="checkbox"/> Mental health or behavioral problem	
<input type="checkbox"/> Mental health or behavioral problem .....0			
N8. Primary or Secondary Caregiver Has a History of Abuse or Neglect as a Child		A8. Two or More Incidents of Domestic Violence in the Household in the Past Year	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N9. Primary or Secondary Caregiver Has/Had a Mental Health Problem		A9. Primary Caregiver Employs Excessive/Inappropriate Discipline	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N10. Primary or Secondary Caregiver Has/Had an Alcohol and/or Drug Problem		A10. Primary Caregiver Blames Child	
a. None/not applicable .....0		a. No .....0	
b. One or more apply ( <i>mark all applicable</i> ) .....1		b. Yes .....1 _____	
<input type="checkbox"/> Alcohol ( <input type="checkbox"/> Last 12 months and/or <input type="checkbox"/> Prior to the last 12 months)			
<input type="checkbox"/> Drugs ( <input type="checkbox"/> Last 12 months and/or <input type="checkbox"/> Prior to the last 12 months)			
N11. Primary or Secondary Caregiver Has Criminal Arrest History		A11. Primary or Secondary Caregiver Has a History of Abuse or Neglect as a Child	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N12. Current Housing		A12. Primary or Secondary Caregiver Has/Had a Mental Health Problem	
a. Not applicable .....0		a. No .....0	
b. One or more apply .....1		b. One or more apply .....1	
<input type="checkbox"/> Physically unsafe, AND/OR		<input type="checkbox"/> During the last 12 months	
<input type="checkbox"/> Family homeless		<input type="checkbox"/> Prior to the last 12 months	
<b>TOTAL NEGLECT RISK SCORE</b>	_____	<b>TOTAL ABUSE RISK SCORE</b>	_____

**SCORED RISK LEVEL.** Assign the family's scored risk level based on the highest score on either the neglect or abuse indices, using the following chart.

<b>Neglect Score</b>	<b>Abuse Score</b>	<b>Scored Risk Level</b>
<input type="checkbox"/> 0–2	<input type="checkbox"/> 0–1	<input type="checkbox"/> Low
<input type="checkbox"/> 3–5	<input type="checkbox"/> 2–4	<input type="checkbox"/> Moderate
<input type="checkbox"/> 6–8	<input type="checkbox"/> 5–7	<input type="checkbox"/> High
<input type="checkbox"/> 9 +	<input type="checkbox"/> 8 +	<input type="checkbox"/> Very High

**POLICY OVERRIDES.** Mark yes if a condition shown below is applicable in this case. If any condition is applicable, override the final risk level to very high.

Yes  No 1. Sexual abuse case AND the perpetrator is likely to have access to the child.  
 Yes  No 2. Non-accidental injury to a child under the age of two years.  
 Yes  No 3. Severe non-accidental injury.  
 Yes  No 4. Caregiver action or inaction resulted in the death of a child due to abuse or neglect (previous or current).

**DISCRETIONARY OVERRIDE.** If a discretionary override is made, mark yes, increase risk by one level, and indicate reason.

Yes  No 5. If yes, override risk level (mark one):  Moderate  High  Very High

Discretionary override reason: \_\_\_\_\_

Supervisor's Review/Approval of Discretionary Override: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**FINAL RISK LEVEL** (mark final level assigned):  Low  Moderate  High  Very High

#### RECOMMENDED DECISION

Final Risk Level	Recommendation
Low	Do Not Promote*
Moderate	Do Not Promote*
High	Promote
Very High	Promote

\*Unless there are unresolved safety threats.

#### PLANNED ACTION

Promote  
 Do Not Promote

If recommended decision and planned action do not match, explain why:

## C. PERFORMANCE OF THE PROPOSED FAMILY RISK ASSESSMENT FOR ABUSE AND NEGLECT

The following tables review the proposed risk assessment classification results for the construction sample, using the same maltreatment outcomes reviewed for assessing the performance of the current family risk assessment. Findings are shown for the proposed neglect index, the proposed abuse index, and the overall risk classification.

### 1. PROPOSED FAMILY RISK ASSESSMENT CLASSIFICATION FINDINGS FOR NEGLECT

Table 14 shows that when classified by the proposed neglect risk assessment, an increase in the neglect risk level corresponded to an increase in rates for every neglect outcome. Among families classified as being at low risk of neglect, 13.8% had a subsequent investigation for neglect, compared to 27.4% of families classified as moderate risk, 41.5% of high-risk families, and 53.4% of very high-risk families. When the outcome was subsequent substantiation for neglect, the rate roughly doubled from low (4.3%) to moderate (11.1%) and moderate to high (18.1%) and increased approximately 50% from high to very high risk (26.7%).

PROPOSED RISK OF NEGLECT CLASSIFICATION BY NEGLECT OUTCOMES								
PROPOSED NEGLECT RISK LEVEL	SAMPLE		SUBSEQUENT NEGLECT INVESTIGATION		SUBSEQUENT NEGLECT SUBSTANTIATION		SUBSEQUENT NEGLECT INVESTIGATION WITH REMOVAL	
	N	%	N	%	N	%	N	%
Low	4,452	38.9%	615	13.8%	190	4.3%	68	1.5%
Moderate	4,832	42.2%	1,326	27.4%	534	11.1%	258	5.3%
High	1,853	16.2%	769	41.5%	336	18.1%	186	10.0%
Very High	307	2.7%	164	53.4%	82	26.7%	54	17.6%
<b>TOTAL SAMPLE</b>	<b>11,444</b>	<b>100.0%</b>	<b>2,874</b>	<b>25.1%</b>	<b>1,142</b>	<b>10.0%</b>	<b>566</b>	<b>4.9%</b>

## 2. PROPOSED FAMILY RISK ASSESSMENT CLASSIFICATION FINDINGS FOR ABUSE

The proposed abuse risk assessment classified families by their likelihood of future physical, emotional, or sexual abuse of a child more accurately than the current assessment. As Table 15 indicates, families classified as very high risk had an abuse investigation and substantiation rate approximately four times greater than low-risk families. Each increase in the abuse risk level demonstrated a significantly higher investigation and substantiation rate.

PROPOSED ABUSE RISK LEVEL	SAMPLE		SUBSEQUENT ABUSE INVESTIGATION		SUBSEQUENT ABUSE SUBSTANTIATION		SUBSEQUENT ABUSE INVESTIGATION WITH REMOVAL	
			N	%	N	%	N	%
	Low	3,389	29.6%	385	11.4%	75	2.2%	37
Moderate	5,793	50.6%	1,209	20.9%	243	4.2%	131	2.3%
High	1,868	16.3%	622	33.3%	151	8.1%	113	6.0%
Very High	394	3.4%	180	45.7%	39	9.9%	35	8.9%
<b>TOTAL SAMPLE</b>	<b>11,444</b>	<b>100.0%</b>	<b>2,396</b>	<b>20.9%</b>	<b>508</b>	<b>4.4%</b>	<b>316</b>	<b>2.8%</b>

## 3. PROPOSED FAMILY RISK ASSESSMENT CLASSIFICATION FINDINGS FOR ANY MALTREATMENT

The proposed neglect and abuse assessments resulted in an improved overall risk classification for maltreatment. Table 16 shows that the proposed risk assessment classified fewer families as high or very high risk (26.2%) than the current risk assessment (30.4%).

In addition, the proposed risk assessment showed the same or better discrimination in CPS outcomes between risk levels and achieved higher outcome rates for the very high-risk group. For example, 5.1% of the sampled families classified as low risk had a subsequent substantiation compared to 10.9% of moderate-risk families, 19.4% of high-risk, and 25.9% for very high-risk families. By comparison (see Table 11), families classified as very high risk by the current risk assessment had a subsequent substantiation rate of 22.9%.

**TABLE 16**

PROPOSED OVERALL RISK LEVEL	SAMPLE		SUBSEQUENT INVESTIGATION		SUBSEQUENT SUBSTANTIATION		SUBSEQUENT INVESTIGATION WITH REMOVAL	
	N	%	N	%	N	%	N	%
Low	2,582	22.6%	419	16.2%	131	5.1%	36	1.4%
Moderate	5,867	51.3%	1,778	30.3%	642	10.9%	259	4.4%
High	2,440	21.3%	1,124	46.1%	474	19.4%	233	9.5%
Very High	555	4.8%	320	57.7%	144	25.9%	87	15.7%
<b>TOTAL SAMPLE</b>	<b>11,444</b>	<b>100.0%</b>	<b>3,641</b>	<b>31.8%</b>	<b>1,391</b>	<b>12.2%</b>	<b>615</b>	<b>5.4%</b>

#### **4. PROPOSED RISK ASSESSMENT CLASSIFICATION FINDINGS BY THE INVESTIGATION DISPOSITION**

Table 17 shows the overall risk assessment classification findings by the disposition decision (inconclusive or substantiated) for the sampled investigation. As with the current risk assessment, a greater proportion of families with a substantiated allegation were classified as high or very high risk compared to families with an inconclusive finding.

For each of the three CPS outcomes observed, an increase in the risk classification corresponded to an increase in the outcome rate for families regardless of the sampled investigation's disposition. In addition, subsequent substantiation and child placement rates within a risk level classification were similar regardless of the sampled investigation's disposition. For example, 23.5% of very high-risk families with an inconclusive finding for the sample incident and 26.8% of very high-risk families with a substantiated sample incident had a subsequent substantiation during the follow-up period. This rate is at least four times that of subsequent substantiation among low-risk families.

**TABLE 17****PROPOSED OVERALL RISK CLASSIFICATION AND SUBSEQUENT MALTREATMENT OUTCOMES BY INVESTIGATION DISPOSITION**

<b>PROPOSED OVERALL RISK LEVEL</b>	<b>SAMPLE DISTRIBUTION</b>		<b>SUBSEQUENT INVESTIGATION</b>		<b>SUBSEQUENT SUBSTANTIATION</b>		<b>SUBSEQUENT INVESTIGATION WITH REMOVAL</b>	
	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>
<b>TOTAL SAMPLE</b>	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
<b>Inconclusive for Current Allegations</b>								
Low	1,460	27.8%	214	14.7%	60	4.1%	18	1.2%
Moderate	2,739	52.2%	904	33.0%	315	11.5%	132	4.8%
High	901	17.2%	457	50.7%	196	21.8%	97	10.8%
Very High	149	2.8%	87	58.4%	35	23.5%	21	14.1%
<b>Subtotal</b>	<b>5,249</b>	<b>100.0%</b>	<b>1,662</b>	<b>31.7%</b>	<b>606</b>	<b>11.5%</b>	<b>268</b>	<b>5.1%</b>
<b>Substantiated for Current Allegations</b>								
Low	1,122	18.1%	205	18.3%	71	6.3%	18	1.6%
Moderate	3,128	50.5%	874	27.9%	327	10.5%	127	4.1%
High	1,539	24.8%	667	43.3%	278	18.1%	136	8.8%
Very High	406	6.6%	233	57.4%	109	26.8%	66	16.3%
<b>Subtotal</b>	<b>6,195</b>	<b>100.0%</b>	<b>1,979</b>	<b>31.9%</b>	<b>785</b>	<b>12.7%</b>	<b>347</b>	<b>5.6%</b>

## 5. PROPOSED RISK ASSESSMENT CLASSIFICATION FINDINGS BY RACE/ETHNICITY OF YOUNGEST CHILD

Table 18 compares the proposed risk assessment classification findings by race/ethnicity of the youngest child in the household. The distribution of families by risk level classification was similar for White/European American and Black/African American families. For example, 32.0% of White/European American families and 33.5% of Black/African American families were classified as high or very high risk by the proposed risk assessment. A lower proportion of Hispanic/Latino or South/Central American (22.6%) and Asian/Pacific Islander (13.3%) families classified as high or very high risk. While the percentage of Native American families classified as high or very high (43.0%) remains higher than the proportion of other ethnic groups in those risk categories, this is a marked improvement from the current assessment, which classified 54.3% of Native American families as high or very high risk.

With one exception, an increase in the proposed risk classification corresponded to an increase in every outcome rate for every ethnic group observed. The only exception was the subsequent substantiation rates for moderate- and high-risk Native American families, which were essentially the same (20.0% versus

20.6%, respectively). One factor that may have influenced this observation is the high base rate of subsequent substantiation for Native American families, which is 40% higher than the next highest substantiation base rate for a race/ethnicity group (14.5% for White/European American families).

In almost all cases, outcome rates within a risk classification were similar across racial/ethnic groups. For example, White/European American families classified as low risk had a subsequent investigation rate of 20.0%, compared to 18.7% of Black/African American families, 16.6% of Hispanic/Latino or South/Central American families, 12.4% of Asian/Pacific Islander families, and 21.1% of Native American families. However, when subsequent substantiation is considered, low- and moderate-risk Native American families have outcome rates similar to high-risk families from other race/ethnic groups. It is important to remember that the base rate for this outcome for Native American families is between 40% and 260% *higher* than the rate observed for other major race/ethnic groups, making this a difficult outcome to evaluate. In addition, the subsequent investigation rate for moderate-risk Asian/Pacific Islander families was similar to the rate for low-risk White/European American families and low-risk Native American families.

TABLE 18								
PROPOSED OVERALL RISK CLASSIFICATION AND SUBSEQUENT MALTREATMENT OUTCOMES BY ETHNICITY								
PROPOSED OVERALL RISK LEVEL	SAMPLE DISTRIBUTION		SUBSEQUENT INVESTIGATION		SUBSEQUENT SUBSTANTIATION		SUBSEQUENT INVESTIGATION WITH REMOVAL	
	N	%	N	%	N	%	N	%
TOTAL SAMPLE	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
<b>Asian/Pacific Islander</b>								
Low	298	34.1%	37	12.4%	14	4.7%	4	1.3%
Moderate	460	52.6%	101	22.0%	32	7.0%	12	2.6%
High	104	11.9%	42	40.4%	18	17.3%	10	9.6%
Very High	12	1.4%	6	50.0%	4	33.3%	4	33.3%
<b>Subtotal</b>	<b>874</b>	<b>100.0%</b>	<b>186</b>	<b>21.3%</b>	<b>68</b>	<b>7.8%</b>	<b>30</b>	<b>3.4%</b>
<b>Black/African American</b>								
Low	262	15.8%	49	18.7%	12	4.6%	2	0.8%
Moderate	843	50.8%	258	30.6%	88	10.4%	44	5.2%
High	441	26.6%	197	44.7%	75	17.0%	35	7.9%
Very High	115	6.9%	71	61.7%	33	28.7%	16	13.9%
<b>Subtotal</b>	<b>1,661</b>	<b>100.0%</b>	<b>575</b>	<b>34.6%</b>	<b>208</b>	<b>12.5%</b>	<b>97</b>	<b>5.8%</b>

**TABLE 18****PROPOSED OVERALL RISK CLASSIFICATION AND SUBSEQUENT MALTREATMENT OUTCOMES BY ETHNICITY**

<b>PROPOSED OVERALL RISK LEVEL</b>	<b>SAMPLE DISTRIBUTION</b>		<b>SUBSEQUENT INVESTIGATION</b>		<b>SUBSEQUENT SUBSTANTIATION</b>		<b>SUBSEQUENT INVESTIGATION WITH REMOVAL</b>	
	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>
<b>Hispanic/Latino or South/Central American</b>								
Low	1,228	25.7%	204	16.6%	60	4.9%	18	1.5%
Moderate	2,467	51.7%	713	28.9%	281	11.4%	99	4.0%
High	875	18.3%	388	44.3%	180	20.6%	94	10.7%
Very High	205	4.3%	114	55.6%	49	23.9%	28	13.7%
<b>Subtotal</b>	<b>4,775</b>	<b>100.0%</b>	<b>1,419</b>	<b>29.7%</b>	<b>570</b>	<b>11.9%</b>	<b>239</b>	<b>5.0%</b>
<b>White/European American</b>								
Low	501	16.8%	100	20.0%	36	7.2%	10	2.0%
Moderate	1,521	51.1%	544	35.8%	187	12.3%	75	4.9%
High	769	25.9%	377	49.0%	161	20.9%	74	9.6%
Very High	183	6.2%	102	55.7%	48	26.2%	31	16.9%
<b>Subtotal</b>	<b>2,974</b>	<b>100.0%</b>	<b>1,123</b>	<b>37.8%</b>	<b>432</b>	<b>14.5%</b>	<b>190</b>	<b>6.4%</b>
<b>Native American</b>								
Low	38	8.1%	8	21.1%	6	15.8%	2	5.3%
Moderate	230	48.9%	88	38.3%	46	20.0%	27	11.7%
High	170	36.2%	89	52.4%	35	20.6%	20	11.8%
Very High	32	6.8%	22	68.8%	9	28.1%	8	25.0%
<b>Subtotal</b>	<b>470</b>	<b>100.0%</b>	<b>207</b>	<b>44.0%</b>	<b>96</b>	<b>20.4%</b>	<b>57</b>	<b>12.1%</b>
<b>Other/Missing</b>								
Low	255	37.0%	21	8.2%	3	1.2%	0	0.0%
Moderate	346	50.1%	74	21.4%	8	2.3%	2	0.6%
High	81	11.7%	31	38.3%	5	6.2%	0	0.0%
Very High	8	1.2%	5	62.5%	1	12.5%	0	0.0%
<b>Subtotal</b>	<b>690</b>	<b>100.0%</b>	<b>131</b>	<b>19.0%</b>	<b>17</b>	<b>2.5%</b>	<b>2</b>	<b>0.3%</b>

**6. SUMMARY OF PROPOSED RISK ASSESSMENT CLASSIFICATION FINDINGS**

Although the current and proposed risk assessments perform well when distinguishing between families by the risk of future child maltreatment allegations, the proposed risk assessment classified fewer families as high and very high risk than the current assessment (26.2% compared to 30.4%); and a greater proportion

of these families had a subsequent investigation, substantiation, and child placement compared to families classified as high or very high risk by the current risk assessment (Table 19). This means that the revised assessment achieved greater specificity than the current risk assessment. This difference may in part be attributable to the use of the sample for construction purposes (as opposed to validation), but validation findings for alternative samples indicate that the specificity may be transferrable (see Appendix C for more details). In other words, the revised assessment classified fewer families as high or very high risk, but a higher proportion of these families were subsequently involved with CPS. In addition, the revised risk assessment improved differences in performance observed across ethnic groups when classified by the current risk assessment.

TABLE 19					
CURRENT AND PROPOSED RISK CLASSIFICATION BY SUBSEQUENT MALTREATMENT OUTCOMES					
OVERALL RISK LEVEL	SAMPLE DISTRIBUTION		OUTCOME RATES DURING THE 18-MONTH FOLLOW-UP PERIOD		
	N	%	SUBSEQUENT INVESTIGATION	SUBSEQUENT SUBSTANTIATION	SUBSEQUENT INVESTIGATION WITH REMOVAL
TOTAL SAMPLE	11,444	100.0%	31.8%	12.2%	5.4%
<b>Current Risk Assessment Classification</b>					
Low	2,840	24.8%	16.9%	5.2%	1.5%
Moderate	5,130	44.8%	31.3%	11.3%	4.4%
High	2,623	22.9%	43.3%	17.8%	8.8%
Very High	851	7.4%	49.4%	22.9%	13.4%
<b>Proposed Risk Assessment Classification</b>					
Low	2,582	22.6%	16.2%	5.1%	1.4%
Moderate	5,867	51.3%	30.3%	10.9%	4.4%
High	2,440	21.3%	46.1%	19.4%	9.5%
Very High	555	4.8%	57.7%	25.9%	15.7%

This pattern was true for sample subgroups as well. For every subgroup, the very high risk groups were smaller and had higher outcome rates than when families were classified by the current risk assessment. Native American families classified as moderate risk, however, had subsequent investigation outcome rates similar to, albeit lower than, Asian/Pacific Islander families classified as high risk. Note that when classified

by the current risk assessment, the outcomes for moderate-risk Native American families were similar to high- and/or very high-risk families from other race/ethnic groups.<sup>5</sup>

Another advantage of the proposed assessment was an enhanced ability to discriminate by subsequent maltreatment for high- and very high-risk families. As Table 19 indicates, the transition from high to very high risk moved the subsequent investigation rate from 46.1% to 57.7% in the proposed assessment, versus 43.3% to 49.4% under the current one. This pattern was also maintained for ethnic subgroups.

## V. SUMMARY

When evaluated across all measures of subsequent maltreatment, the current risk assessment performed reasonably well when distinguishing between families classified at low, moderate, high, and very high risk of future child maltreatment. For all CPS outcomes (investigation, substantiation, and child placement) and among most sample subgroups, the recidivism rates observed among low-risk families were significantly lower than those of families classified at higher risk levels. An increase in risk level (low to moderate and moderate to high) corresponded to at least a 35% increase in the re-investigation rate, a 55% increase in the subsequent substantiation rate, and a twofold increase in the child placement rate. Among Native American families, however, the risk assessment did not perform as well when classifying by the likelihood of future child maltreatment. In addition, the distinction between re-investigation and other outcome rates for high- and very high-risk families was unremarkable.

A proposed risk assessment was developed to determine whether the performance of the current risk assessment could be improved. This was achieved by independently analyzing the relationship between family characteristics (e.g., number of children, prior history, child and caregiver characteristics, details related to the current investigation, etc.) observed at the time of the sample incident and family outcomes observed during the standardized 18-month follow-up period. The proposed risk assessment classified fewer families as high and very high risk, and these families had higher rates of subsequent CPS involvement than families classified as high and very high risk by the current assessment. The revised assessment also more accurately classified Native American families by the likelihood of re-investigation.

The proposed risk assessment was applied to a validation sample to assess its classification ability in a sample other than the one with which the assessment was constructed. Shrinkage, the amount of classification power lost when risk assessment findings are compared in independent construction and validation samples, was between 3.6% and 15.4% (see Appendix C for more information), within acceptable limits. Evident

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<sup>5</sup> As noted previously, the base rates for Native American families were nearly twice that of Asian/Pacific Islander families, which makes equivalent classification findings difficult to achieve.

Change recommends that child welfare agency staff regularly monitor the accuracy of risk assessment findings by examining outcomes by classification findings for family samples to ensure a valid, reliable, and equitable risk assessment.

Adopting the proposed assessment should help to improve workers' estimates of a family's risk of future maltreatment. This, in turn, would permit the agency to reduce subsequent maltreatment by more effectively targeting service interventions to high-risk families. Agency monitoring and quality improvement efforts may also improve the accuracy of worker risk assessment estimates and the management of service delivery. As previously mentioned, periodic validations are required to ensure that risk assessments continue to effectively classify families by their likelihood of future child maltreatment. If child welfare agency operations change significantly in the next few years, Evident Change strongly recommends that another validation study be conducted to ensure that the risk assessment is effectively classifying families.

## **APPENDICES**

- A. CURRENT FAMILY RISK ASSESSMENT FORM AND ITEM ANALYSIS**
- B. REVIEW OF PROPOSED RISK ASSESSMENT**
- C. COMPARISON OF PROPOSED RISK ASSESSMENT CLASSIFICATION FINDINGS FOR CONSTRUCTION AND VALIDATION SAMPLES**
- D. REVIEW OF THE RISK REASSESSMENT**
- E. DESCRIPTION OF COUNTIES ELIGIBLE FOR SAMPLING AND RISK CLASSIFICATION FINDINGS BY COUNTY**

**CALIFORNIA  
FAMILY RISK ASSESSMENT**

r: 09-12

Referral Name: \_\_\_\_\_ Referral #: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

County Name: \_\_\_\_\_ Worker Name: \_\_\_\_\_ Worker ID#: \_\_\_\_\_

<b>NEGLECT</b>	<b>Score</b>	<b>ABUSE</b>	<b>Score</b>
N1. Current Report Is for Neglect		A1. Current Report Is for Physical Abuse	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N2. Prior Investigations ( <i>assign highest score that applies</i> )		A2. Number of Prior Investigations	
a. None.....-1		a. None .....-1	
b. One or more, <u>abuse only</u> .....1		b. One or more, neglect only .....0	
c. One or two for <u>neglect</u> .....2		c. One for abuse .....1	
d. Three or more for <u>neglect</u> .....3		d. Two or more for abuse .....2	
N3. Household Has Previously Received CPS ( <i>voluntary/court ordered</i> )		A3. Household Has Previously Received CPS ( <i>voluntary/court ordered</i> )	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N4. Number of Children Involved in the Child Abuse/Neglect Incident		A4. Prior Physical Injury to a Child Resulting from Child Abuse/Neglect or Prior Substantiated Physical Abuse to a Child	
a. One, two, or three.....0		a. None/not applicable .....0	
b. Four or more.....1		b. One or more apply .....1	
□ Prior physical injury to a child resulting from CA/N □ Prior substantiated physical abuse of a child			
N5. Age of Youngest Child in the Home		A5. Number of Children Involved in the Child Abuse/Neglect Incident	
a. Two or older.....0		a. One, two, or three .....0	
b. Under two.....1		b. Four or more .....1	
N6. Characteristics of Children in Household ( <i>add for score</i> )		A6. Characteristics of Children in Household ( <i>score 1 if any present</i> )	
a. Not applicable .....0		a. Not applicable .....0	
b. One or more present ( <i>mark all applicable and add</i> )		b. One or more present ( <i>mark all applicable</i> ) .....1	
□ Developmental, learning, or physical disability.....1		□ Delinquency history □ Developmental disability □ Learning disability □ Mental health or behavioral problem	
□ Developmental .....0 □ Learning .....0 □ Physical .....0			
□ Medically fragile or failure to thrive .....1			
□ Mental health or behavioral problem .....1			
N7. Primary Caregiver Provides Physical Care of the Child That Is:		A7. Two or More Incidents of Domestic Violence in the Household in the Past Year	
a. Consistent with child needs .....0		a. No .....0	
b. Inconsistent with child needs .....1		b. Yes .....1	
N8. Primary Caregiver Has a History of Abuse or Neglect as a Child		A8. Primary Caregiver Employs Excessive/Inappropriate Discipline	
a. No .....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N9. Primary Caregiver Has/Had a Mental Health Problem		A9. Primary Caregiver Is Domineering	
a. No .....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N10. Primary Caregiver Has/Had an Alcohol and/or Drug Problem		A10. Primary Caregiver Has a History of Abuse or Neglect as a Child	
a. None/not applicable .....0		a. No .....0	
b. One or more apply ( <i>mark all applicable</i> ) .....2		b. Yes .....1	
□ Alcohol (□ Last 12 months and/or □ Prior to the last 12 months)			
□ Drugs (□ Last 12 months and/or □ Prior to the last 12 months)			
□ Marijuana .....0 □ Methamphetamine .....0 □ Heroin .....0 □ Cocaine .....0			
□ Other: _____			
N11. Primary Caregiver Has Criminal Arrest History		A11. Primary Caregiver Has/Had a Mental Health Problem	
a. No .....0		a. No .....0	
b. Yes .....1		b. One or more apply .....1	
□ During the last 12 months □ Prior to the last 12 months			
N12. Current Housing			
a. Not applicable .....0			
b. One or more apply .....1			
□ Physically unsafe, AND/OR □ Family homeless			

**TOTAL NEGLECT RISK SCORE** \_\_\_\_\_

**TOTAL ABUSE RISK SCORE** \_\_\_\_\_

**SCORED RISK LEVEL.** Assign the family=s scored risk level based on the highest score on either the neglect or abuse indices, using the following chart:

<b>Neglect Score</b>	<b>Abuse Score</b>	<b>Scored Risk Level</b>
□ -1-1	□ -1-0	□ Low
□ 2-5	□ 1-3	□ Moderate
□ 6-8	□ 4-6	□ High
□ 9 +	□ 7 +	□ Very High

**POLICY OVERRIDES.** Mark yes if a condition shown below is applicable in this case. If any condition is applicable, override the final risk level to very high.

□ Yes      □ No      1. Sexual abuse case AND the perpetrator is likely to have access to the child.  
 □ Yes      □ No      2. Non-accidental injury to a child under age two years.  
 □ Yes      □ No      3. Severe non-accidental injury.  
 □ Yes      □ No      4. Caregiver action or inaction resulted in the death of a child due to abuse or neglect (previous or current).

**DISCRETIONARY OVERRIDE.** If a discretionary override is made, mark yes, increase risk by one level, and indicate reason.

□ Yes      □ No      5. If yes, override risk level (mark one):      □ Moderate      □ High      □ Very High  
 Discretionary override reason: \_\_\_\_\_

Supervisor's Review/Approval of Discretionary Override: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**FINAL RISK LEVEL** (mark final level assigned):      □ Low      □ Moderate      □ High      □ Very High

**RECOMMENDED DECISION**

Final Risk Level	Recommendation
Low	Do Not Promote*
Moderate	Do Not Promote*
High	Promote
Very High	Promote

\*Unless there are unresolved dangers.

**PLANNED ACTION:**

Promote  
 Do Not Promote

If recommended decision and planned action do not match, explain why:

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**SUPPLEMENTAL ITEMS**

Note: These items should be recorded, but are not scored.

1. Primary caregiver characteristics:

Yes   No

a.   Blames child  
b.   Provides insufficient emotional/psychological support

2. Secondary caregiver characteristics:

No secondary caregiver

Yes   No

a.   Has history of abuse/neglect as a child  
b.   Has/had mental health problem  
c.   Has/had an alcohol and/or drug problem (*mark all applicable*)  
     During the last 12 months    Prior to the last 12 months  
     Alcohol ( Last 12 months and/or  Prior 12 months)  
     Drugs ( Last 12 months and/or  Prior 12 months)  
         Marijuana    Methamphetamine    Heroin    Cocaine  
         Other: \_\_\_\_\_  
d.   Employs excessive/inappropriate discipline  
e.   Domineering  
f.   Secondary caregiver has criminal arrest history

The purpose of an item analysis is to describe the bivariate relationship between individual risk factors scored on the neglect and abuse indices and the outcomes observed during the standardized 18-month follow-up period. Table A1 reviews the neglect risk factors and their relationship to subsequent neglect outcomes (i.e., subsequent neglect investigation, neglect substantiation, and new removal related to a neglect investigation). Columns two and three show the prevalence of each risk factor among the sample. Columns four and five show the proportion of families with a subsequent investigation for neglect for each of the risk characteristics. Column six reports the Pearson correlation for each risk factor and subsequent neglect investigation, while column seven reports the significance of that correlation. The expectation is that each risk factor will have a significant relationship with the relevant CPS outcomes in the expected direction. For example, 65.3% of sampled families were investigated for neglect at the time of the sample incident. Among families with no current allegations of neglect, 19.3% were re-investigated for neglect during the follow-up timeframe. More than one fourth (28.2%) of families investigated for neglect at the time of the sample incident were re-investigated for neglect during the follow-up period. The correlation between current neglect allegation and subsequent neglect investigation (.098) is significant (i.e.,  $p$ -value  $\leq .05$ ). Columns eight through 11 show the rate and correlation for each risk factor with subsequent neglect substantiation, and columns 12 through 15 show the rate and correlation for each risk factor with subsequent removals related to a neglect investigation.

Almost every risk factor in the neglect instrument has a statistically significant relationship to at least one of the three outcomes shown ( $p \leq .05$ ; Table A1). The one exception is sub-item “N12. Current Housing Physically Unsafe,” which did not show a statistically significant correlation with any of the outcomes. All abuse items have a significant relationship to at least one of the three abuse outcomes (Table A2).

TABLE A1

## NEGLECT INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N1. Current Report Is for Neglect					0.098	0.000			0.092	0.000			0.061	0.000
No	3,967	34.7%	764	19.3%			245	6.2%			124	3.1%		
Yes	7,477	65.3%	2,110	28.2%			897	12.0%			442	5.9%		
N2. Prior Investigations					0.206	0.000			0.133	0.000			0.107	0.000
None	5,223	45.6%	874	16.7%			337	6.5%			148	2.8%		
One or more, abuse only	1,414	12.4%	314	22.2%			100	7.1%			63	4.5%		
One or two for neglect	2,886	25.2%	896	31.0%			368	12.8%			168	5.8%		
Three or more for neglect	1,921	16.8%	790	41.1%			337	17.5%			187	9.7%		
N3. Household Has Previously Received CPS					0.129	0.000			0.101	0.000			0.101	0.000
No	9,226	80.6%	2,064	22.4%			784	8.5%			357	3.9%		
Yes	2,218	19.4%	810	36.5%			358	16.1%			209	9.4%		
N4. Number of Children Involved in the Child Abuse/Neglect Incident					0.086	0.000			0.045	0.000			0.028	0.001
One, two, or three	10,260	89.7%	2,446	23.8%			977	9.5%			486	4.7%		
Four or more	1,184	10.3%	428	36.1%			165	13.9%			80	6.8%		

TABLE A1

## NEGLECT INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N5. Age of Youngest Child in the Home				0.058	0.000			0.075	0.000			0.072	0.000	
2 years or older	8,249	72.1%	1,943	23.6%			707	8.6%			328	4.0%		
Under 2 years	3,195	27.9%	931	29.1%			435	13.6%			238	7.4%		
N6. Characteristics of Children in Household				0.069	0.000			0.016	0.039			0.025	0.004	
Not applicable	9,331	81.5%	2,209	23.7%			907	9.7%			443	4.7%		
One present	1,883	16.5%	588	31.2%			211	11.2%			102	5.4%		
Two present	224	2.0%	75	33.5%			23	10.3%			21	9.4%		
Three present	6	0.1%	2	33.3%			1	16.7%			0	0.0%		
N6. Characteristics of Children in Household: Developmental, Learning, or Physical Disability				0.047	0.000			0.003	0.369			0.012	0.091	
No	10,541	92.1%	2,584	24.5%			1,049	10.0%			513	4.9%		
Yes	903	7.9%	290	32.1%			93	10.3%			53	5.9%		
N6. Characteristics of Children in Household: Developmental Disability				0.031	0.000			-0.006	0.261			-0.004	0.346	
No	10,920	95.4%	2,710	24.8%			1,094	10.0%			542	5.0%		
Yes	524	4.6%	164	31.3%			48	9.2%			24	4.6%		

TABLE A1

## NEGLECT INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N6. Characteristics of Children in Household: Learning Disability					0.028	0.001			-0.002	0.417			0.011	0.110
No	10,990	96.0%	2,733	24.9%			1,098	10.0%			538	4.9%		
Yes	454	4.0%	141	31.1%			44	9.7%			28	6.2%		
N6. Characteristics of Children in Household: Physical Disability					0.021	0.014			0.016	0.049			0.019	0.023
No	11,319	98.9%	2,832	25.0%			1,124	9.9%			555	4.9%		
Yes	125	1.1%	42	33.6%			18	14.4%			11	8.8%		
N6. Characteristics of Children in Household: Medically Fragile or Failure to Thrive					0.023	0.008			0.011	0.109			0.018	0.029
No	11,254	98.3%	2,812	25.0%			1,118	9.9%			551	4.9%		
Yes	190	1.7%	62	32.6%			24	12.6%			15	7.9%		
N6. Characteristics of Children in Household: Mental Health or Behavioral Problem					0.049	0.000			0.016	0.039			0.018	0.028
No	10,188	89.0%	2,482	24.4%			999	9.8%			490	4.8%		
Yes	1,256	11.0%	392	31.2%			143	11.4%			76	6.1%		

TABLE A1

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N7. Primary Caregiver Provides Physical Care of the Child That Is:					0.035	0.000			0.029	0.001			0.015	0.052
Consistent with child needs	10,574	92.4%	2,610	24.7%			1,029	9.7%			513	4.9%		
Inconsistent with child needs	870	7.6%	264	30.3%			113	13.0%			53	6.1%		
N8. Primary Caregiver Has a History of Abuse or Neglect as a Child					0.097	0.000			0.086	0.000			0.092	0.000
No	9,304	81.3%	2,149	23.1%			814	8.7%			371	4.0%		
Yes	2,140	18.7%	725	33.9%			328	15.3%			195	9.1%		
N9. Primary Caregiver Has/Had a Mental Health Problem					0.074	0.000			0.060	0.000			0.048	0.000
No	9,848	86.1%	2,346	23.8%			912	9.3%			446	4.5%		
Yes	1,596	13.9%	528	33.1%			230	14.4%			120	7.5%		
N10. Primary Caregiver Has/Had an Alcohol and/or Drug Problem					0.134	0.000			0.114	0.000			0.103	0.000
None/not applicable	8,518	74.4%	1,849	21.7%			679	8.0%			310	3.6%		
One or more apply	2,926	25.6%	1,025	35.0%			463	15.8%			256	8.7%		

TABLE A1

## NEGLECT INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N10. Primary Caregiver Alcohol Problem in the Last 12 Months					0.062	0.000			0.044	0.000			0.035	0.000
No	10,735	93.8%	2,622	24.4%			1,035	9.6%			510	4.8%		
Yes	709	6.2%	252	35.5%			107	15.1%			56	7.9%		
N10. Primary Caregiver Alcohol Problem Prior to the Last 12 Months					0.049	0.000			0.033	0.000			0.032	0.000
No	10,977	95.9%	2,709	24.7%			1,073	9.8%			527	4.8%		
Yes	467	4.1%	165	35.3%			69	14.8%			39	8.4%		
N10. Primary Caregiver Drug Problem in the Last 12 Months					0.080	0.000			0.082	0.000			0.062	0.000
No	9,841	86.0%	2,333	23.7%			885	9.0%			433	4.4%		
Yes	1,603	14.0%	541	33.7%			257	16.0%			133	8.3%		
N10. Primary Caregiver Drug Problem Prior to the Last 12 Months					0.089	0.000			0.065	0.000			0.076	0.000
No	10,270	89.7%	2,445	23.8%			957	9.3%			451	4.4%		
Yes	1,174	10.3%	429	36.5%			185	15.8%			115	9.8%		
N10. Primary Caregiver Marijuana Problem					0.069	0.000			0.055	0.000			0.039	0.000
No	10,425	91.1%	2,521	24.2%			987	9.5%			488	4.7%		
Yes	1,019	8.9%	353	34.6%			155	15.2%			78	7.7%		

TABLE A1

## NEGLECT INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N10. Primary Caregiver Methamphetamine Problem					0.094	0.000			0.092	0.000			0.100	0.000
No	10,117	88.4%	2,391	23.6%			909	9.0%			421	4.2%		
Yes	1,327	11.6%	483	36.4%			233	17.6%			145	10.9%		
N10. Primary Caregiver Heroin Problem					0.013	0.077			0.030	0.001			0.032	0.000
No	11,380	99.4%	2,853	25.1%			1,128	9.9%			557	4.9%		
Yes	64	.6%	21	32.8%			14	21.9%			9	14.1%		
N10. Primary Caregiver Cocaine Problem					0.020	0.018			0.020	0.016			0.026	0.003
No	11,219	98.0%	2,804	25.0%			1,110	9.9%			546	4.9%		
Yes	225	2.0%	70	31.1%			32	14.2%			20	8.9%		
N10. Primary Caregiver Other Drug Problem					0.031	0.000			0.017	0.035			0.005	0.293
No	11,198	97.9%	2,790	24.9%			1,109	9.9%			552	4.9%		
Yes	246	2.1%	84	34.1%			33	13.4%			14	5.7%		
N11. Primary Caregiver Has Criminal Arrest History					0.112	0.000			0.103	0.000			0.095	0.000
No	8,386	73.3%	1,861	22.2%			680	8.1%			310	3.7%		
Yes	3,058	26.7%	1,013	33.1%			462	15.1%			256	8.4%		
N12. Current Housing					0.026	0.003			0.024	0.005			0.029	0.001
Not applicable	10,935	95.6%	2,720	24.9%			1,074	9.8%			526	4.8%		
One or more apply	509	4.4%	154	30.3%			68	13.4%			40	7.9%		

TABLE A1

## NEGLECT INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N12. Current Housing Physically Unsafe				-0.004	0.331			-0.005	0.294			0.004	0.326	
No	11,230	98.1%	2,823	25.1%			1,123	10.0%			554	4.9%		
Yes	214	1.9%	51	23.8%			19	8.9%			12	5.6%		
N12. Family Homeless				0.034	0.000			0.035	0.000			0.035	0.000	
No	11,138	97.3%	2,770	24.9%			1,092	9.8%			537	4.8%		
Yes	306	2.7%	104	34.0%			50	16.3%			29	9.5%		

TABLE A2

## ABUSE INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
A1. Current Report Is for Physical Abuse				0.057	0.000			0.017	0.034			0.007	0.234	
No	7,855	68.6%	1,521	19.4%			330	4.2%			211	2.7%		
Yes	3,589	31.4%	875	24.4%			178	5.0%			105	2.9%		

TABLE A2

## ABUSE INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
A2. Number of Prior Investigations					0.168	0.000			0.094	0.000			0.090	0.000
None	5,552	48.5%	823	14.8%			146	2.6%			78	1.4%		
One or more, neglect only	2,104	18.4%	471	22.4%			103	4.9%			66	3.1%		
One for abuse	1,894	16.6%	457	24.1%			112	5.9%			68	3.6%		
Two or more for abuse	1,894	16.6%	645	34.1%			147	7.8%			104	5.5%		
A3. Household Has Previously Received CPS					0.097	0.000			0.061	0.000			0.070	0.000
No	9,307	81.3%	1,772	19.0%			357	3.8%			206	2.2%		
Yes	2,137	18.7%	624	29.2%			151	7.1%			110	5.1%		
A4. Prior Physical Injury to a Child Resulting From Child Abuse/Neglect or Prior Substantiated Physical Abuse to a Child					0.063	0.000			0.033	0.000			0.036	0.000
None/not applicable	10,908	95.3%	2,222	20.4%			468	4.3%			287	2.6%		
One or more apply	536	4.7%	174	32.5%			40	7.5%			29	5.4%		
A4. Prior Physical Injury to a Child Resulting From CA/N					0.026	0.003			0.015	0.050			0.007	0.213
No	11,255	98.3%	2,341	20.8%			495	4.4%			309	2.7%		
Yes	189	1.7%	55	29.1%			13	6.9%			7	3.7%		
A4. Prior Substantiated Physical Abuse of a Child					0.062	0.000			0.036	0.000			0.042	0.000
No	11,031	96.4%	2,256	20.5%			474	4.3%			290	2.6%		
Yes	413	3.6%	140	33.9%			34	8.2%			26	6.3%		

TABLE A2

## ABUSE INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
A5. Number of Children Involved in the Child Abuse/Neglect Incident					0.079	0.000			0.042	0.000			0.039	0.000
One, two, or three	10,343	90.4%	2,057	19.9%			430	4.2%			264	2.6%		
Four or more	1,101	9.6%	339	30.8%			78	7.1%			52	4.7%		
A6. Characteristics of Children in Household					0.090	0.000			0.034	0.000			0.035	0.000
Not applicable	9,386	82.0%	1,805	19.2%			386	4.1%			234	2.5%		
One or more present	2,058	18.0%	591	28.7%			122	5.9%			82	4.0%		
A6. Characteristics of Children in Household: Delinquency History					0.013	0.078			0.003	0.360			0.020	0.016
No	11,178	97.7%	2,331	20.9%			495	4.4%			303	2.7%		
Yes	266	2.3%	65	24.4%			13	4.9%			13	4.9%		
A6. Characteristics of Children in Household: Developmental Disability					0.021	0.013			0.004	0.338			-0.009	0.179
No	10,924	95.5%	2,267	20.8%			483	4.4%			305	2.8%		
Yes	520	4.5%	129	24.8%			25	4.8%			11	2.1%		
A6. Characteristics of Children in Household: Learning Disability					0.033	0.000			0.022	0.008			0.020	0.015
No	11,016	96.3%	2,277	20.7%			479	4.3%			297	2.7%		
Yes	428	3.7%	119	27.8%			29	6.8%			19	4.4%		

TABLE A2

## ABUSE INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
A6. Characteristics of Children in Household: Mental Health or Behavioral Problem					0.084	0.000			0.025	0.004			0.035	0.000
No	10,189	89.0%	2,011	19.7%			434	4.3%			261	2.6%		
Yes	1,255	11.0%	385	30.7%			74	5.9%			55	4.4%		
A7. Two or More Incidents of Domestic Violence in the Household in the Past Year					0.022	0.010			0.027	0.002			0.020	0.018
No	9,481	82.8%	1,947	20.5%			397	4.2%			248	2.6%		
Yes	1,963	17.2%	449	22.9%			111	5.7%			68	3.5%		
A8. Primary Caregiver Employs Excessive/Inappropriate Discipline					0.034	0.000			0.011	0.117			-0.002	0.436
No	10,731	93.8%	2,209	20.6%			470	4.4%			297	2.8%		
Yes	713	6.2%	187	26.2%			38	5.3%			19	2.7%		
A9. Primary Caregiver Is Domineering					0.025	0.003			0.006	0.256			0.016	0.039
No	10,947	95.7%	2,268	20.7%			483	4.4%			296	2.7%		
Yes	497	4.3%	128	25.8%			25	5.0%			20	4.0%		
A10. Primary Caregiver Has a History of Abuse or Neglect as a Child					0.065	0.000			0.014	0.067			0.053	0.000
No	9,387	82.0%	1,850	19.7%			404	4.3%			221	2.4%		
Yes	2,057	18.0%	546	26.5%			104	5.1%			95	4.6%		

TABLE A2

## ABUSE INSTRUMENT ITEM ANALYSIS OF CURRENT RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
A11. Primary Caregiver Has/Had a Mental Health Problem					0.056	0.000			0.029	0.001			0.038	0.000
No	9,924	86.7%	1,989	20.0%			417	4.2%			250	2.5%		
Yes	1,520	13.3%	407	26.8%			91	6.0%			66	4.3%		
A11. Primary Caregiver Has/Had a Mental Health Problem During the Last 12 Months					0.048	0.000			0.029	0.001			0.027	0.002
No	10,225	89.3%	2,072	20.3%			433	4.2%			267	2.6%		
Yes	1,219	10.7%	324	26.6%			75	6.2%			49	4.0%		
A11. Primary Caregiver Has/Had a Mental Health Problem Prior to the Last 12 Months					0.031	0.000			-0.001	0.457			0.021	0.012
No	10,710	93.6%	2,207	20.6%			476	4.4%			286	2.7%		
Yes	734	6.4%	189	25.7%			32	4.4%			30	4.1%		

**CALIFORNIA  
PROPOSED FAMILY RISK ASSESSMENT**

r: 07-13

**Referral Name:** \_\_\_\_\_ **Referral #:** \_\_\_\_\_ **Date:** \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**County Name:** \_\_\_\_\_ **Worker Name:** \_\_\_\_\_ **Worker ID#:** \_\_\_\_\_

<b>NEGLECT</b>	<b>Score</b>	<b>ABUSE</b>	<b>Score</b>
N1. Current Report Is for Neglect		A1. Current Report Is for Physical or Emotional Abuse	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N2. Two or More Prior Neglect Investigations (assign highest score that applies)		A2. Two or More Prior Abuse Investigations	
a. Fewer than two prior neglect investigations .....0		a. Fewer than two prior abuse investigations .....0	
b. Two prior neglect investigations .....1		b. Two prior abuse investigations .....1	
c. Three prior neglect investigations .....2		c. Three or more prior abuse investigations .....2	
N3. Any Prior Investigation for Abuse		A3. Any Prior Investigation for Neglect	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N4. Household Has Previously Received CPS (voluntary/court ordered)		A4. Household Has Previously Received CPS (voluntary/court ordered)	
a. No.....0		a. No .....0	
b. Yes, previously but not currently .....1		b. Yes, Previously but Not Currently .....1	
c. Yes, household currently receiving CPS .....2		c. Yes, Household Currently Receiving CPS .....2	
N5. Number of Children Involved in the Child Abuse/Neglect Incident		A5. Prior Physical Injury to a Child Resulting From Child Abuse/Neglect or Prior Substantiated Physical Abuse to a Child	
a. One, two, or three .....0		a. None/not applicable .....0	
b. Four or more .....1		b. One or more apply .....1	
<input type="checkbox"/> Prior physical injury to a child resulting from CA/N		<input type="checkbox"/> Prior physical injury to a child resulting from CA/N	
<input type="checkbox"/> Prior substantiated physical abuse of a child		<input type="checkbox"/> Prior substantiated physical abuse of a child	
N6. Age of Youngest Child in the Home		A6. Number of Children Involved in the Child Abuse/Neglect Incident	
a. Two or older .....0		a. One, two, or three .....0	
b. Younger than two .....1		b. Four or more .....1	
N7. Characteristics of Children in Household		A7. Characteristics of Children in Household (score 1 if any present)	
a. Not applicable .....0		a. Not applicable .....0	
b. One or more present .....1		b. One or more present (mark all applicable) .....1	
<input type="checkbox"/> Developmental, learning, or physical disability		<input type="checkbox"/> Developmental disability	
<input type="checkbox"/> Developmental <input type="checkbox"/> Learning <input type="checkbox"/> Physical		<input type="checkbox"/> Learning disability	
<input type="checkbox"/> Medically fragile or failure to thrive		<input type="checkbox"/> Mental health or behavioral problem	
<input type="checkbox"/> Mental health or behavioral problem			
N8. Primary or Secondary Caregiver Has a History of Abuse or Neglect as a Child		A8. Two or More Incidents of Domestic Violence in the Household in the Past Year	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N9. Primary or Secondary Caregiver Has/Had a Mental Health Problem		A9. Primary Caregiver Employs Excessive/Inappropriate Discipline	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N10. Primary or Secondary Caregiver Has/Had an Alcohol and/or Drug Problem		A10. Primary Caregiver Blames Child	
a. None/not applicable .....0		a. No .....0	
b. One or more apply (mark all applicable) .....1		b. Yes .....1	
<input type="checkbox"/> Alcohol ( <input type="checkbox"/> Last 12 months and/or <input type="checkbox"/> Prior to the last 12 months)			
<input type="checkbox"/> Drugs ( <input type="checkbox"/> Last 12 months and/or <input type="checkbox"/> Prior to the last 12 months)			
N11. Primary or Secondary Caregiver Has Criminal Arrest History		A11. Primary or Secondary Caregiver Has a History of Abuse or Neglect as a Child	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N12. Current Housing		A12. Primary or Secondary Caregiver Has/Had a Mental Health Problem	
a. Not applicable .....0		a. No .....0	
b. One or more apply .....1		b. One or more apply .....1	
<input type="checkbox"/> Physically unsafe, AND/OR		<input type="checkbox"/> During the last 12 months	
<input type="checkbox"/> Family homeless		<input type="checkbox"/> Prior to the last 12 months	
<b>TOTAL NEGLECT RISK SCORE</b>	_____	<b>TOTAL ABUSE RISK SCORE</b>	_____

**SCORED RISK LEVEL.** Assign the family's scored risk level based on the highest score on either the neglect or abuse indices, using the following chart.

<b>Neglect Score</b>	<b>Abuse Score</b>	<b>Scored Risk Level</b>
<input type="checkbox"/> 0–2	<input type="checkbox"/> 0–1	<input type="checkbox"/> Low
<input type="checkbox"/> 3–5	<input type="checkbox"/> 2–4	<input type="checkbox"/> Moderate
<input type="checkbox"/> 6–8	<input type="checkbox"/> 5–7	<input type="checkbox"/> High
<input type="checkbox"/> 9 +	<input type="checkbox"/> 8 +	<input type="checkbox"/> Very High

**POLICY OVERRIDES.** Mark yes if a condition shown below is applicable in this case. If any condition is applicable, override the final risk level to very high.

Yes  No 1. Sexual abuse case AND the perpetrator is likely to have access to the child.  
 Yes  No 2. Non-accidental injury to a child under the age of two years.  
 Yes  No 3. Severe non-accidental injury.  
 Yes  No 4. Caregiver action or inaction resulted in the death of a child due to abuse or neglect (previous or current).

**DISCRETIONARY OVERRIDE.** If a discretionary override is made, mark yes, increase risk by one level, and indicate reason.

Yes  No 5. If yes, override risk level (mark one):  Moderate  High  Very High

Discretionary override reason: \_\_\_\_\_

Supervisor's Review/Approval of Discretionary Override: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**FINAL RISK LEVEL** (mark final level assigned):  Low  Moderate  High  Very High

#### RECOMMENDED DECISION

Final Risk Level	Recommendation
Low	Do Not Promote*
Moderate	Do Not Promote*
High	Promote
Very High	Promote

\*Unless there are unresolved safety threats.

#### PLANNED ACTION

Promote  
 Do Not Promote

If recommended decision and planned action do not match, explain why:

TABLE B1

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N1. Current Report Is for Neglect					0.098	0.000			0.092	0.000			0.061	0.000
No	3,967	34.7%	764	19.3%			245	6.2%			124	3.1%		
Yes	7,477	65.3%	2,110	28.2%			897	12.0%			442	5.9%		
N2. Two or More Prior Neglect Investigations					0.223	0.000			0.151	0.000			.123	0.000
Fewer than two prior neglect investigations	8,755	76.5%	1,751	20.0%			669	7.6%			311	3.6%		
Two prior neglect investigations	1,051	9.2%	361	34.3%			139	13.2%			75	7.1%		
Three or more prior neglect investigations	1,638	14.3%	762	46.5%			334	20.4%			180	11.0%		
N3. Any Prior Investigation for Abuse					0.154	0.000			0.086	0.000			0.068	0.000
No	7,085	61.9%	1,409	19.9%			563	7.9%			269	3.8%		
Yes	4,359	38.1%	1,465	33.6%			579	13.3%			297	6.8%		

TABLE B1

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N4. Household Has Previously Received CPS					0.146	0.000			0.116	0.000			0.122	0.000
No	9,067	79.2%	1,992	22.0%			751	8.3%			338	3.7%		
Yes, previously but not currently	1,953	17.1%	692	35.4%			300	15.4%			163	8.3%		
Yes, household currently receiving services	424	3.7%	190	44.8%			91	21.5%			65	15.3%		
N5. Number of Children Involved in the Child Abuse/Neglect Incident					0.086	0.000			0.045	0.000			0.028	0.001
One, two, or three	10,260	89.7%	2,446	23.8%			977	9.5%			486	4.7%		
Four or more	1,184	10.3%	428	36.1%			165	13.9%			80	6.8%		
N6. Age of Youngest Child in the Home					0.058	0.000			0.075	0.000			0.072	0.000
2 years or older	8,249	72.1%	1,943	23.6%			707	8.6%			328	4.0%		
Under 2 years	3,195	27.9%	931	29.1%			435	13.6%			238	7.4%		

TABLE B1

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N7. Characteristics of Children in Household					0.070	0.000			0.018	0.026			0.019	0.020
Not applicable	9,331	81.5%	2,209	23.7%			907	9.7%			443	4.7%		
One or more present	2,113	18.5%	665	31.5%			235	11.1%			123	5.8%		
N8. Primary or Secondary Caregiver Has a History of Abuse or Neglect as a Child					0.086	0.000			0.077	0.000			0.081	0.000
No	8,796	76.9%	2,029	23.1%			766	8.7%			350	4.0%		
Yes	2,648	23.1%	845	31.9%			376	14.2%			216	8.2%		
N9. Primary or Secondary Caregiver Has/Had a Mental Health Problem					0.070	0.000			0.048	0.000			0.039	0.000
No	9,422	82.3%	2,233	23.7%			877	9.3%			429	4.6%		
Yes	2,022	17.7%	641	31.7%			265	13.1%			137	6.8%		
N10. Primary or Secondary Caregiver Has/Had an Alcohol and/or Drug Problem					0.110	0.000			0.093	0.000			0.087	0.000
None/not applicable	7,285	63.7%	1,566	21.5%			574	7.9%			257	3.5%		
One or more apply	4,159	36.3%	1,308	31.4%			568	13.7%			309	7.4%		

TABLE B1

ITEM	SAMPLE DISTRIBUTION		NEW NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED NEGLECT INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO NEGLECT INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	11,444	100.0%	2,874	25.1%			1,142	10.0%			566	4.9%		
N11. Primary or Secondary Caregiver Has Criminal Arrest History					0.082	0.000			0.076	0.000			0.076	0.000
No	6,559	57.3%	1,445	22.0%			525	8.0%			231	3.5%		
Yes	4,885	42.7%	1,429	29.3%			617	12.6%			335	6.9%		
N12. Current Housing					0.026	0.003			0.024	0.005			0.029	0.001
Not applicable	10,935	95.6%	2,720	24.9%			1,074	9.8%			526	4.8%		
One or more apply	509	4.4%	154	30.3%			68	13.4%			40	7.9%		

TABLE B2

## ABUSE INSTRUMENT ITEM ANALYSIS OF PROPOSED RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
A1. Current Report Is for Physical or Emotional Abuse					0.090	0.000			0.046	0.000			0.024	0.005
No	5,485	47.9%	940	17.1%			189	3.4%			129	2.4%		
Yes	5,959	52.1%	1,456	24.4%			319	5.4%			187	3.1%		
A2. Two or More Prior Abuse Investigations					0.192	0.000			0.088	0.000			0.103	0.000
Fewer than two prior abuse investigations	9,144	79.9%	1,578	17.3%			317	3.5%			181	2.0%		
Two prior abuse investigations	1,004	8.8%	288	28.7%			84	8.4%			42	4.2%		
Two or more prior abuse investigations	1,296	11.3%	530	40.9%			107	8.3%			93	7.2%		
A3. Any Prior Investigation for Neglect					0.150	0.000			0.079	0.000			0.076	0.000
No	6,734	58.8%	1,067	15.8%			207	3.1%			116	1.7%		
Yes	4,710	41.2%	1,329	28.2%			301	6.4%			200	4.2%		
A4. Household Has Previously Received CPS					0.125	0.000			0.080	0.000			0.104	0.000
No	9,139	79.9%	1,708	18.7%			341	3.7%			189	2.1%		
Yes, previously but not currently	1,881	16.4%	510	27.1%			117	6.2%			80	4.3%		

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## ABUSE INSTRUMENT ITEM ANALYSIS OF PROPOSED RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
Yes, household currently receiving CPS	424	3.7%	178	42.0%			50	11.8%			47	11.1%		
A5. Prior Physical Injury to a Child Resulting From Child Abuse/Neglect or Prior Substantiated Physical Abuse to a Child					0.063	0.000			0.033	0.000			0.036	0.000
None/not applicable	10,908	95.3%	2,222	20.4%			468	4.3%			287	2.6%		
One or more apply	536	4.7%	174	32.5%			40	7.5%			29	5.4%		
A5. Prior Physical Injury to a Child Resulting From CA/N					0.026	0.003			0.015	0.050			0.007	0.213
No	11,255	98.3%	2,341	20.8%			495	4.4%			309	2.7%		
Yes	189	1.7%	55	29.1%			13	6.9%			7	3.7%		
A5. Prior Substantiated Physical Abuse of a Child					0.062	0.000			0.036	0.000			0.042	0.000
No	11,031	96.4%	2,256	20.5%			474	4.3%			290	2.6%		
Yes	413	3.6%	140	33.9%			34	8.2%			26	6.3%		

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	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
A6. Number of Children Involved in the Child Abuse/Neglect Incident					0.079	0.000			0.042	0.000			0.039	0.000
One, two, or three	10,343	90.4%	2,057	19.9%			430	4.2%			264	2.6%		
Four or more	1,101	9.6%	339	30.8%			78	7.1%			52	4.7%		
A7. Characteristics of Children in Household					0.088	0.000			0.031	0.000			0.029	0.001
Not applicable	9,542	83.4%	1,845	19.3%			396	4.2%			243	2.5%		
One or more present	1,902	16.6%	551	29.0%			112	5.9%			73	3.8%		
A7. Characteristics of Children in Household: Developmental Disability					0.021	0.013			0.004	0.338			-0.009	0.179
No	10,924	95.5%	2,267	20.8%			483	4.4%			305	2.8%		
Yes	520	4.5%	129	24.8%			25	4.8%			11	2.1%		
A7. Characteristics of Children in Household: Learning Disability					0.033	0.000			0.022	0.008			0.020	0.015
No	11,016	96.3%	2,277	20.7%			479	4.3%			297	2.7%		
Yes	428	3.7%	119	27.8%			29	6.8%			19	4.4%		
A7. Characteristics of Children in Household: Mental Health or Behavioral Problem					0.084	0.000			0.025	0.004			0.035	0.000
No	10,189	89.0%	2,011	19.7%			434	4.3%			261	2.6%		

TABLE B2

## ABUSE INSTRUMENT ITEM ANALYSIS OF PROPOSED RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
Yes	1,255	11.0%	385	30.7%			74	5.9%			55	4.4%		
<b>A8. Two or More Incidents of Domestic Violence in the Household in the Past Year</b>					0.022	0.010			0.027	0.002			0.020	0.018
No	9,481	82.8%	1,947	20.5%			397	4.2%			248	2.6%		
Yes	1,963	17.2%	449	22.9%			111	5.7%			68	3.5%		
<b>A9. Primary Caregiver Employs Excessive/Inappropriate Discipline</b>					0.034	0.000			0.011	0.117			-0.002	0.436
No	10,731	93.8%	2,209	20.6%			470	4.4%			297	2.8%		
Yes	713	6.2%	187	26.2%			38	5.3%			19	2.7%		
<b>A10. Primary Caregiver Blames Child</b>					0.040	0.000			0.025	0.004			0.041	0.000
No	10,768	94.1%	2,211	20.5%			464	4.3%			279	2.6%		
Yes	676	5.9%	185	27.4%			44	6.5%			37	5.5%		
<b>A11. Primary or Secondary Caregiver Has a History of Abuse or Neglect as a Child</b>					0.065	0.000			0.025	0.004			0.050	0.000
No	8,796	76.9%	1,714	19.5%			366	4.2%			203	2.3%		
Yes	2,648	23.1%	682	25.8%			142	5.4%			113	4.3%		
<b>A12. Primary or Secondary Caregiver Has/Had a Mental Health Problem</b>					0.059	0.000			0.033	0.000			0.034	0.000
No	9,422	82.3%	1,867	19.8%			389	4.1%			236	2.5%		
Yes	2,022	17.7%	529	26.2%			119	5.9%			80	4.0%		

TABLE B2

## ABUSE INSTRUMENT ITEM ANALYSIS OF PROPOSED RISK ASSESSMENT: CONSTRUCTION SAMPLE

ITEM	SAMPLE DISTRIBUTION		NEW ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW SUBSTANTIATED ABUSE INVESTIGATION WITHIN 18 MONTHS				NEW REMOVAL RELATED TO ABUSE INVESTIGATION WITHIN 18 MONTHS			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL	11,444	100.0%	2,396	20.9%			508	4.4%			316	2.8%		
A13. Primary or Secondary Caregiver Has/Had an Alcohol and/or Drug Problem					0.026	0.002			0.005	0.306			0.027	0.002
None/not applicable	7,285	63.7%	1,466	20.1%			318	4.4%			177	2.4%		
One or more apply	4,159	36.3%	930	22.4%			190	4.6%			139	3.3%		

# APPENDIX C: COMPARISON OF PROPOSED RISK ASSESSMENT CLASSIFICATION FINDINGS FOR CONSTRUCTION AND VALIDATION SAMPLES

## COMPARISON OF PROPOSED RISK ASSESSMENT CLASSIFICATION FINDINGS FOR THE CONSTRUCTION AND VALIDATION SAMPLES

The sample population of 52,856 families with an inconclusive or substantiated investigation between July 1, 2010, and June 30, 2011, was selected randomly into two groups: a construction sample of 11,444 families and a validation sample of 10,900 families. The use of two samples allows a scale to be developed on one population (the construction sample) and tested on another (the validation sample). Families were stratified by ethnicity, based on the primary ethnicity of the youngest alleged child victim on the index investigation, and then randomly selected into either a construction sample or a validation sample. Asian/Pacific Islander and Native American families were oversampled for the construction sample to ensure ample representation. The construction sample consisted of 50% of the Asian/Pacific Islander families with a substantiated or inconclusive index investigation and all of the Native American families whose index investigation was substantiated or inconclusive. The construction sample included 20% of all other race/ethnicity groups. The same sampling plan was used to create the validation sample, with the exception of Native American families (Table C1).

TABLE C1

### SUBSTANTIATED AND INCONCLUSIVE INVESTIGATIONS BY FAMILY RACE/ETHNICITY CONSTRUCTION SAMPLE VERSUS VALIDATION SAMPLE

FAMILY RACE/ETHNICITY	ALL FAMILIES		CONSTRUCTION SAMPLE		VALIDATION SAMPLE	
	N	%	N	% SAMPLED FROM RACE/ETHNICITY GROUP	N	% SAMPLED FROM RACE/ETHNICITY GROUP
Asian/Pacific Islander	1,791	3.4%	874	48.8%	905	50.5%
Black/African American	8,321	15.7%	1,661	20.0%	1,655	19.9%
Hispanic or Latino	23,974	45.4%	4,775	19.9%	4,669	19.5%
White	14,820	28.0%	2,974	20.1%	2,977	20.1%
Native American	470	0.9%	470	100.0%	0	0.0%
Other/Missing	3,480	6.6%	690	19.8%	694	19.9%
<b>TOTAL</b>	<b>52,856</b>	<b>100.0%</b>	<b>11,444</b>	<b>21.7%</b>	<b>10,900</b>	<b>20.6%</b>

Because some California counties complete the family risk assessment on unfounded investigations, a third sample of 13,039 families was selected from the pool of unfounded investigations in the sample period. Again, this sample was selected by stratifying families by the primary ethnicity of the youngest alleged child victim on the index investigation. This unfounded sample was used to estimate the performance of the proposed FRA for families involved in unfounded investigations.

FAMILY RACE/ETHNICITY	ALL FAMILIES		UNFOUNDED TESTING SAMPLE	
	N	%	N	% SAMPLED FROM RACE/ETHNICITY GROUP
Asian/Pacific Islander	2,194	3.7%	1,104	50.3%
Black/African American	8,602	14.5%	1,755	20.4%
Hispanic or Latino	26,723	45.2%	5,353	20.0%
White	16,369	27.7%	3,316	20.3%
Native American	537	0.9%	537	100.0%
Other/Missing	4,727	8.0%	974	20.6%
<b>TOTAL</b>	<b>59,152</b>	<b>100.0%</b>	<b>13,039</b>	<b>22.0%</b>

Classification results will be the most robust for the sample from which the assessment was constructed. Validating the scale on a separate population provides a reasonable approximation of how a risk assessment will perform when actually implemented. The ability of a risk assessment to classify families by maltreatment outcomes is expected to decrease somewhat when the risk assessment is applied to samples other than the construction sample. The amount of classification power lost from construction to validation sample is called shrinkage. Shrinkage is normal and expected.<sup>6</sup>

Table C3 compares findings by the overall risk classification level obtained for families in the construction versus the validation sample. For families in the construction sample, the risk assessment classified families such that an increase in risk of one level from low to moderate or moderate to high corresponded to an increase in the outcome rate of 50.0% or more across all maltreatment outcomes observed, while an

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<sup>6</sup> See Silver, E., Smith, W., & Banks, S. (2000). Constructing actuarial devices for predicting recidivism. *Criminal Justice and Behavior*, 29(5), 733–764. See also Altman, D., & Royston, P. (2000). What do we mean by validating a prognostic model? *Statistics in Medicine*, 19, 453–473.

increase from high to very high risk corresponded to an increase of approximately 25% for subsequent investigation and approximately 33% to 65% for the remaining outcomes.

Findings were similar when the proposed risk assessment was applied to the validation sample. For families in the validation sample, an increase in the risk level corresponded to at least a 33% increase in the outcome rates for all three outcomes (Table C3). The distribution of the families classified by the proposed risk assessment was also very similar in the validation as compared to the construction sample. Among families in the validation sample, 22.7% classified as low risk, 51.7% as moderate risk, 21.4% as high risk, and 4.3% as very high risk.

We also reviewed the performance of the proposed risk classification as applied to unfounded investigations with a risk assessment available (Table C3). Among families with an unfounded index investigation, an increase from low to moderate risk corresponded to at least a 91% increase across outcomes, at least a 58% increase across outcomes between moderate and high risk, and a 31% to 91% increase in outcome rates with a move from high to very high risk.

**TABLE C3**

**PROPOSED RISK CLASSIFICATION BY SUBSEQUENT MALTREATMENT OUTCOMES FOR  
SAMPLE GROUPS:  
CONSTRUCTION, VALIDATION, AND FAMILIES WITH UNFOUNDED SAMPLE  
INVESTIGATIONS**

PROPOSED OVERALL RISK LEVEL	SAMPLE DISTRIBUTION		OUTCOMES		
	N	%	NEW INVESTIGATION WITHIN 18 MONTHS	NEW SUBSTANTIATED INVESTIGATION WITHIN 18 MONTHS	NEW REMOVAL RELATED TO INVESTIGATION WITHIN 18 MONTHS
<b>Construction Sample</b>					
Low	2,582	22.6%	16.2%	5.1%	1.4%
Moderate	5,867	51.3%	30.3%	10.9%	4.4%
High	2,440	21.3%	46.1%	19.4%	9.5%
Very High	555	4.8%	57.7%	25.9%	15.7%
<b>TOTAL</b>	<b>11,444</b>	<b>100.0%</b>	<b>31.8%</b>	<b>12.2%</b>	<b>5.4%</b>

**TABLE C3**

**PROPOSED RISK CLASSIFICATION BY SUBSEQUENT MALTREATMENT OUTCOMES FOR  
SAMPLE GROUPS:  
CONSTRUCTION, VALIDATION, AND FAMILIES WITH UNFOUNDED SAMPLE  
INVESTIGATIONS**

<b>PROPOSED OVERALL RISK LEVEL</b>	<b>SAMPLE DISTRIBUTION</b>		<b>OUTCOMES</b>		
	<b>N</b>	<b>%</b>	<b>NEW INVESTIGATION WITHIN 18 MONTHS</b>	<b>NEW SUBSTANTIATED INVESTIGATION WITHIN 18 MONTHS</b>	<b>NEW REMOVAL RELATED TO INVESTIGATION WITHIN 18 MONTHS</b>
<b>Validation Sample</b>					
Low	2,471	22.7%	17.5%	5.1%	1.7%
Moderate	5,637	51.7%	30.3%	11.3%	4.6%
High	2,328	21.4%	45.7%	18.4%	8.7%
Very High	464	4.3%	60.8%	26.3%	14.7%
<b>TOTAL</b>	<b>10,900</b>	<b>100.0%</b>	<b>32.0%</b>	<b>12.0%</b>	<b>5.3%</b>
<b>Unfounded Sample</b>					
Low	5,084	39.0%	15.9%	3.7%	1.0%
Moderate	6,080	46.6%	30.5%	9.2%	3.3%
High	1,687	12.9%	48.3%	17.0%	8.6%
Very High	188	1.4%	63.3%	27.1%	16.5%
<b>TOTAL</b>	<b>13,039</b>	<b>100.0%</b>	<b>27.6%</b>	<b>8.3%</b>	<b>3.3%</b>

One way to assess the degree of shrinkage is to look at changes in scores for the Dispersion Index for Risk (DIFR). The DIFR was introduced in 1998 by Silver and Banks as an alternative method for assessing the classification abilities of a risk assessment. Traditional measures of predictive accuracy, such as sensitivity and specificity, are based on the assumption of a dichotomous decision and therefore have limited usefulness for measures with more than two classification categories.

The DIFR measures the potency of a risk assessment by assessing how an entire cohort is partitioned into different groups and the extent to which group outcomes vary from the base rate for the entire cohort. In essence, it weights the distance between a subgroup's outcome rate from the cohort's base rate by the subgroup size to estimate the “potency” of a classification system. Because this measure considers proportionality and differences in outcome rates among several subgroups, it is a measure of the efficacy of classification systems. The DIFR formula is:

$$DIFR = \sqrt{\sum_{i=1}^k \left( \ln\left(\frac{P}{1-P}\right) - \ln\left(\frac{p_i}{1-p_i}\right) \right)^2 * \frac{n_i}{N}}$$

where  $k$  is the number of subgroups in the risk classification model,  $P$  is the total sample base rate of the outcome,  $N$  is the total sample size,  $p_i$  represents the base rate of each of the  $k$  subgroups, and  $n_i$  is the size of each  $k$  subgroup. In sum, the DIFR considers the degree to which outcomes of each subgroup (classification level) differ from the mean for the study sample and adjusts for the size of the group classified to each level.<sup>7</sup>

Evident Change compared the DIFR scores for the construction and validation samples by each maltreatment outcome observed (Table C4). Based on changes in the DIFR scores, the amount of shrinkage is estimated to be 8.1%.<sup>8</sup>

**TABLE C4**

		DISPERSION INDEX FOR THE PROPOSED THREE-LEVEL RISK BY SUBSEQUENT MALTREATMENT OUTCOMES FOR THE CONSTRUCTION AND VALIDATION SAMPLES		
SAMPLE GROUP	SAMPLE SIZE	DIFR INDEX FOR CPS OUTCOMES AND THEIR DIFFERENCES		
		NEW INVESTIGATION WITHIN 18 MONTHS	NEW SUBSTANTIATED INVESTIGATION WITHIN 18 MONTHS	NEW REMOVAL RELATED TO INVESTIGATION WITHIN 18 MONTHS
Construction	11,444	0.56	0.56	0.78
Validation	10,900	0.53	0.54	0.66
Change in DIFR Score		0.03	0.02	0.12

<sup>7</sup> The limitations of the DIFR are as follows.

1. It measures distance from the mean without considering whether it is in the expected or logical direction. Therefore, when outcome rates do not conform to the basic expectations (i.e., that failure rates will increase as risk levels increase), the test is inappropriate.
2. It measures overall dispersion from the base rate and does not assess the degree of separation between any two risk categories. In a similar fashion, the DIFR cannot help to assess whether a risk classification model is classifying two subgroups similarly, but rather assesses the dispersion within a subgroup (given that group's base rate).

<sup>8</sup> The percent change (the difference in scores divided by the score for the construction sample) is 5.4% for subsequent investigation, 3.6% for subsequent substantiation, and 15.4% for subsequent child placement. The percent change averaged over the three outcomes is 8.1%.

It should be noted that validating by splitting the sample may underestimate shrinkage (see Silver and Banks, 2000). The construction and validation samples originate from the same initial sample and are therefore subject to the same type of measurement bias. In addition, implementation of the risk assessment under field conditions may impact the classification abilities of the risk assessment. The best approach for determining shrinkage is to monitor risk assessment use with regular data reporting and case reviews and to examine the risk assessment's classification abilities in the future.

# APPENDIX D: REVIEW OF THE RISK REASSESSMENT

Workers complete the risk reassessment to measure changes in families' risk of future maltreatment based on the response to services, as well as other changes in the household. Workers reassess families with an open service case every six months, and a significant change within a family may affect risk level.

The California family risk reassessment for in-home cases (see pages D2 and D3) combines items from the initial risk assessment related to the case-initiating referral with additional items that evaluate a family's progress toward case plan goals. Unlike the initial risk assessment, which contains separate indices for risk of neglect and risk of abuse, the risk reassessment includes a single index.

**CALIFORNIA  
FAMILY RISK ASSESSMENT**

r: 09-12

Referral Name: \_\_\_\_\_ Referral #: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

County Name: \_\_\_\_\_ Worker Name: \_\_\_\_\_ Worker ID#: \_\_\_\_\_

<b>NEGLECT</b>	<b>Score</b>	<b>ABUSE</b>	<b>Score</b>
N1. Current Report Is for Neglect		A1. Current Report Is for Physical Abuse	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N2. Prior Investigations ( <i>assign highest score that applies</i> )		A2. Number of Prior Investigations	
a. None.....-1		a. None .....-1	
b. One or more, <u>abuse only</u> .....1		b. One or more, neglect only .....0	
c. One or two for <u>neglect</u> .....2		c. One for abuse .....1	
d. Three or more for <u>neglect</u> .....3		d. Two or more for abuse .....2	
N3. Household Has Previously Received CPS ( <i>voluntary/court ordered</i> )		A3. Household Has Previously Received CPS ( <i>voluntary/court ordered</i> )	
a. No.....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N4. Number of Children Involved in the Child Abuse/Neglect Incident		A4. Prior Physical Injury to a Child Resulting from Child Abuse/Neglect or Prior Substantiated Physical Abuse to a Child	
a. One, two, or three.....0		a. None/not applicable .....0	
b. Four or more.....1		b. One or more apply .....1	
□ Prior physical injury to a child resulting from CA/N □ Prior substantiated physical abuse of a child			
N5. Age of Youngest Child in the Home		A5. Number of Children Involved in the Child Abuse/Neglect Incident	
a. Two or older.....0		a. One, two, or three .....0	
b. Under two.....1		b. Four or more .....1	
N6. Characteristics of Children in Household ( <i>add for score</i> )		A6. Characteristics of Children in Household ( <i>score 1 if any present</i> )	
a. Not applicable .....0		a. Not applicable .....0	
b. One or more present ( <i>mark all applicable and add</i> )		b. One or more present ( <i>mark all applicable</i> ) .....1	
□ Developmental, learning, or physical disability.....1		□ Delinquency history □ Developmental disability □ Learning disability □ Mental health or behavioral problem	
□ Developmental .....0 □ Learning .....0 □ Physical .....0			
□ Medically fragile or failure to thrive .....1			
□ Mental health or behavioral problem .....1			
N7. Primary Caregiver Provides Physical Care of the Child That Is:		A7. Two or More Incidents of Domestic Violence in the Household in the Past Year	
a. Consistent with child needs .....0		a. No .....0	
b. Inconsistent with child needs .....1		b. Yes .....1	
N8. Primary Caregiver Has a History of Abuse or Neglect as a Child		A8. Primary Caregiver Employs Excessive/Inappropriate Discipline	
a. No .....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N9. Primary Caregiver Has/Had a Mental Health Problem		A9. Primary Caregiver Is Domineering	
a. No .....0		a. No .....0	
b. Yes .....1		b. Yes .....1	
N10. Primary Caregiver Has/Had an Alcohol and/or Drug Problem		A10. Primary Caregiver Has a History of Abuse or Neglect as a Child	
a. None/not applicable .....0		a. No .....0	
b. One or more apply ( <i>mark all applicable</i> ) .....2		b. Yes .....1	
□ Alcohol (□ Last 12 months and/or □ Prior to the last 12 months) □ Drugs (□ Last 12 months and/or □ Prior to the last 12 months) □ Marijuana .....0 □ Methamphetamine .....0 □ Heroin .....0 □ Cocaine .....0 □ Other: _____			
N11. Primary Caregiver Has Criminal Arrest History		A11. Primary Caregiver Has/Had a Mental Health Problem	
a. No .....0		a. No .....0	
b. Yes .....1		b. One or more apply .....1	
□ During the last 12 months □ Prior to the last 12 months			
N12. Current Housing			
a. Not applicable .....0			
b. One or more apply .....1			
□ Physically unsafe, AND/OR □ Family homeless			

**TOTAL NEGLECT RISK SCORE** \_\_\_\_\_

**TOTAL ABUSE RISK SCORE** \_\_\_\_\_

**SCORED RISK LEVEL.** Assign the family=s scored risk level based on the highest score on either the neglect or abuse indices, using the following chart:

<b>Neglect Score</b>	<b>Abuse Score</b>	<b>Scored Risk Level</b>
□ -1-1	□ -1-0	□ Low
□ 2-5	□ 1-3	□ Moderate
□ 6-8	□ 4-6	□ High
□ 9 +	□ 7 +	□ Very High

**POLICY OVERRIDES.** Mark yes if a condition shown below is applicable in this case. If any condition is applicable, override the final risk level to very high.

Yes  No 1. Sexual abuse case AND the perpetrator is likely to have access to the child.

Yes  No 2. Non-accidental injury to a child under age two years.

Yes  No 3. Severe non-accidental injury.

Yes  No 4. Caregiver action or inaction resulted in the death of a child due to abuse or neglect (previous or current).

**DISCRETIONARY OVERRIDE.** If a discretionary override is made, mark yes, increase risk by one level, and indicate reason.

Yes  No 5. If yes, override risk level (mark one):  Moderate  High  Very High

Discretionary override reason: \_\_\_\_\_

Supervisor's Review/Approval of Discretionary Override: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**FINAL RISK LEVEL** (mark final level assigned):  Low  Moderate  High  Very High

**RECOMMENDED DECISION**

Final Risk Level	Recommendation
Low	Do Not Promote*
Moderate	Do Not Promote*
High	Promote
Very High	Promote

\*Unless there are unresolved dangers.

**PLANNED ACTION:**

Promote  
 Do Not Promote

If recommended decision and planned action do not match, explain why:

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**SUPPLEMENTAL ITEMS**

Note: These items should be recorded, but are not scored.

1. Primary caregiver characteristics:

Yes   No

a.   Blames child  
b.   Provides insufficient emotional/psychological support

2. Secondary caregiver characteristics:

No secondary caregiver

Yes   No

a.   Has history of abuse/neglect as a child  
b.   Has/had mental health problem  
c.   Has/had an alcohol and/or drug problem (*mark all applicable*)  
     During the last 12 months    Prior to the last 12 months  
     Alcohol ( Last 12 months and/or  Prior 12 months)  
     Drugs ( Last 12 months and/or  Prior 12 months)  
         Marijuana    Methamphetamine    Heroin    Cocaine  
         Other: \_\_\_\_\_  
d.   Employs excessive/inappropriate discipline  
e.   Domineering  
f.   Secondary caregiver has criminal arrest history

Validating the risk reassessment is difficult for many reasons. Workers complete this assessment for families served by the department. If services are effective, then these families are less likely to subsequently maltreat a child. While the case is open, however, service providers have more contact with the families and may report allegations that otherwise would not have been reported. If a family does not comply with the case plan and child safety is a concern, the department may remove a child from the home. Each of these factors would affect the likelihood that a caregiver would maltreat a child in the future.

Assessing the performance of the risk reassessment is also difficult because child welfare agency staff complete the assessment multiple times during the life of a case. The likelihood of a family being assessed for child maltreatment allegations at the time of the first reassessment may be very different compared to the likelihood at the time of the second or the last reassessment. The performance of the risk reassessment can still be reviewed, but the results of analysis and proposed changes need to be evaluated within this context.

To examine the predictive validity of the risk reassessment, Evident Change selected families from the validation study samples (construction, validation, unfounded, and families not selected into one of those samples) whose index investigation resulted in a new case opening. In other words, the sample for the risk reassessment analysis is a subgroup of the families from the risk assessment validation study. We observed the classification abilities of the risk reassessment for these families at two separate points in time: after workers completed the first risk reassessment and after the second risk reassessment.<sup>9</sup> The first sample consisted of families whose index investigation resulted in a new case opening<sup>10</sup> and who had a risk reassessment completed within eight months of the investigation closure. The second sample consisted of the second risk reassessment completed for these families, if completed within eight months of the first reassessment.

As with the risk assessment validation study, information for analyses came from the CWS/CMS system and the SDM database. CPS outcomes were observed for each family in both samples during a standardized follow-up period of nine months from the sampled reassessment date. These outcomes included an investigation of abuse or neglect allegations, substantiation of maltreatment, and subsequent out-of-home placement of a child.

The first risk reassessment sample consisted of 5,259 families investigated for child maltreatment between July 1, 2010, and June 30, 2011, and opened into new case services. Of these families, 21.1% had a subsequent investigation, 7.1% had a subsequent substantiation, and 4.0% experienced child removal within

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<sup>9</sup> See section III (Research Methodology) for a complete description of sampling methods for the validation study. Note that the reassessment sample includes families from the construction sample, validation sample, and unfounded sample, as well as families that were investigated by the selected counties during the timeframe but not retained for the construction, validation, or unfounded samples. Families from all partitions of the sample were included to ensure an adequate sample size for the reassessment analyses.

<sup>10</sup> To best control for how long sample families had been receiving ongoing services, families whose index investigations resulted in continuation of ongoing services were excluded from the analysis.

nine months. Child welfare agency staff completed a second risk reassessment within eight months for 2,154 of these families. Among this second risk reassessment sample, 20.5% experienced a subsequent investigation, 6.5% had a new substantiation, and 3.3% had a child removal within nine months.

At the time of the first risk reassessment, 35.5% of families were classified as low risk, 49.5% as moderate risk, 13.7% as high risk, and 1.3% as very high risk. Outcome rates by scored risk reassessment level showed the expected pattern across all three outcomes (Table D1); i.e., with each increase in risk level, there was a corresponding increase in the outcome level. For example, 13.0% of low-risk families had a subsequent investigation, compared to 22.5% of moderate-risk families, 35.1% of high-risk families, and 43.3% of very high-risk families.

At the time of the second reassessment, very few families classified as high (12.2%) or very high risk (1.0%). With so few families classified as high or very high risk, it is difficult to make reliable comparisons between very high risk and other families. A comparison of low- to moderate-risk families and moderate- to high-risk families shows that an increase in risk level corresponded to an increase in every outcome rate.

<b>TABLE D1</b>								
<b>RISK REASSESSMENT LEVEL</b>	<b>SAMPLE DISTRIBUTION</b>		<b>CASE OUTCOME RATES DURING THE NINE-MONTH FOLLOW-UP PERIOD</b>					
	<b>N</b>	<b>%</b>	<b>INVESTIGATION OF ANY ALLEGATION</b>	<b>SUBSTANTIATION FOR ANY ALLEGATION</b>	<b>CHILD REMOVAL</b>			
<b>First Risk Reassessment Sample</b>								
Low	1,867	35.5%	242	13.0%	78	4.2%	40	2.1%
Moderate	2,605	49.5%	586	22.5%	176	6.8%	97	3.7%
High	720	13.7%	253	35.1%	106	14.7%	62	8.6%
Very High	67	1.3%	29	43.3%	15	22.4%	10	14.9%
<b>TOTAL SAMPLE</b>	<b>5,259</b>	<b>100.0%</b>	<b>1,110</b>	<b>21.1%</b>	<b>375</b>	<b>7.1%</b>	<b>209</b>	<b>4.0%</b>
<b>Second Risk Reassessment Sample</b>								
Low	786	36.5%	106	13.5%	25	3.2%	11	1.4%
Moderate	1,084	50.3%	240	22.1%	81	7.5%	43	4.0%
High	263	12.2%	88	33.5%	32	12.2%	17	6.5%
Very High	21	1.0%	7	33.3%	3	14.3%	0	0.0%
<b>TOTAL SAMPLE</b>	<b>2,154</b>	<b>100.0%</b>	<b>441</b>	<b>20.5%</b>	<b>141</b>	<b>6.5%</b>	<b>71</b>	<b>3.3%</b>

Table D2 reviews the individual reassessment items by subsequent CPS involvement. This item analysis is useful when determining possible modifications to the risk reassessment.

TABLE D2

ITEM ANALYSIS OF CURRENT RISK REASSESSMENT FOR THE FIRST RISK REASSESSMENT SAMPLE															
RISK REASSESSMENT ITEM	SAMPLE DISTRIBUTION		ANY NEW INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				ANY NEW SUBSTANTIATED INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				NEW REMOVAL RELATED TO ANY INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	
TOTAL SAMPLE	5,259	100.0%	1,110	21.1%			375	7.1%			209	4.0%			
R1. Number of Prior Neglect or Abuse CPS Investigations					0.141	0.000			0.077	0.000			0.062	0.000	
None	2,153	40.9%	336	15.6%			112	5.2%			58	2.7%			
One	1,216	23.1%	229	18.8%			78	6.4%			48	3.9%			
Two or more	1,890	35.9%	545	28.8%			185	9.8%			103	5.4%			
R2. Household Has Previously Received CPS					.097	0.000			.083	0.000			.079	0.000	
No	4,010	76.3%	758	18.9%			238	5.9%			125	3.1%			
Yes	1,249	23.7%	352	28.2%			137	11.0%			84	6.7%			
R3. Primary Caregiver Has a History of Abuse or Neglect as a Child					.071	0.000			.052	0.000			.064	0.000	
No	4,109	78.1%	804	19.6%			264	6.4%			136	3.3%			
Yes	1,150	21.9%	306	26.6%			111	9.7%			73	6.3%			
R4. Child Characteristics					.072	0.000			.037	0.004			.012	0.196	
No child has any of the characteristics	4,534	86.2%	904	19.9%			306	6.7%			176	3.9%			
One or more characteristics apply	725	13.8%	206	28.4%			69	9.5%			33	4.6%			
R4. One or More Children in Household Is/Are Developmentally Disabled					.045	0.001			.026	0.029			0.004	0.397	
No	4,978	94.7%	1,029	20.7%			347	7.0%			197	4.0%			
Yes	281	5.3%	81	28.8%			28	10.0%			12	4.3%			

TABLE D2

ITEM ANALYSIS OF CURRENT RISK REASSESSMENT FOR THE FIRST RISK REASSESSMENT SAMPLE														
RISK REASSESSMENT ITEM	SAMPLE DISTRIBUTION		ANY NEW INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				ANY NEW SUBSTANTIATED INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				NEW REMOVAL RELATED TO ANY INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
TOTAL SAMPLE	5,259	100.0%	1,110	21.1%			375	7.1%			209	4.0%		
R4. One or More Children in Household Has/Have a Learning Disability					.038	0.003			.019	0.083			-.004	0.374
No	4,851	92.2%	1,002	20.7%			339	7.0%			194	4.0%		
Yes	408	7.8%	108	26.5%			36	8.8%			15	3.7%		
R4. One or More Children in Household Is/Are Medically Fragile or Diagnosed With Failure to Thrive					.038	0.003			.017	0.115			.011	0.220
No	5,126	97.5%	1,069	20.9%			362	7.1%			202	3.9%		
Yes	133	2.5%	41	30.8%			13	9.8%			7	5.3%		
R4. One or More Children in Household Is/Are Physically Disabled					0.042	0.001			.032	0.010			.010	0.227
No	5,189	98.7%	1,085	20.9%			365	7.0%			205	4.0%		
Yes	70	1.3%	25	35.7%			10	14.3%			4	5.7%		
R5. New Investigation of Abuse or Neglect Since the Initial Risk Assessment or the Last Reassessment					.125	0.000			.096	0.000			.072	0.000
No	4,632	88.1%	891	19.2%			288	6.2%			160	3.5%		
Yes	627	11.9%	219	34.9%			87	13.9%			49	7.8%		

TABLE D2

RISK REASSESSMENT ITEM	SAMPLE DISTRIBUTION		ANY NEW INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				ANY NEW SUBSTANTIATED INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				NEW REMOVAL RELATED TO ANY INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT					
			N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
	TOTAL SAMPLE	5,259	100.0%	1,110	21.1%				375	7.1%			209	4.0%		
<b>R6. Caregiver Has Not Addressed Alcohol or Drug Abuse Problem Since the Last Assessment/Reassessment</b>					.058	0.000				.084	0.000			.073	0.000	
No history, no current problem, or problem is being addressed	4,873	92.7%	996	20.4%			318	6.5%			174	3.6%				
Problem is not being addressed	386	7.3%	114	29.5%			57	14.8%			35	9.1%				
<b>R7. Problems With Adult Relationships</b>					.022	.053				.034	.007			.019	.087	
None applicable	4,148	78.9%	856	20.6%			277	6.7%			157	3.8%				
Yes, harmful/tumultuous relationships with adults, or domestic violence	1,111	21.1%	254	22.9%			98	8.8%			52	4.7%				
<b>R8. Primary Caregiver Has/Had a Mental Health Problem</b>					.076	.000				.075	.000			.060	.000	
No	4,395	83.6%	867	19.7%			276	6.3%			152	3.5%				
Yes	864	16.4%	243	28.1%			99	11.5%			57	6.6%				

TABLE D2

ITEM ANALYSIS OF CURRENT RISK REASSESSMENT FOR THE FIRST RISK REASSESSMENT SAMPLE															
RISK REASSESSMENT ITEM	SAMPLE DISTRIBUTION		ANY NEW INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				ANY NEW SUBSTANTIATED INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				NEW REMOVAL RELATED TO ANY INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	
TOTAL SAMPLE	5,259	100.0%	1,110	21.1%			375	7.1%			209	4.0%			
R9. Primary Caregiver Provides Physical Care of the Child That Is:				.029	.016			.034	.007			.042	.001		
Consistent with child needs	4,959	94.3%	1,032	20.8%			343	6.9%			187	3.8%			
Not consistent with child needs	300	5.7%	78	26.0%			32	10.7%			22	7.3%			
R10. Caregiver's Progress With Case Plan Objectives				.064	.000			.064	.000			.065	.000		
Primary and secondary caregivers demonstrate new skills consistent with case plan objectives	3,532	67.2%	681	19.3%			211	6.0%			109	3.1%			
Either caregiver does not demonstrate new skills consistent with case plan objectives	1,727	32.8%	429	24.8%			164	9.5%			100	5.8%			
R10. Primary Caregiver Progress With Case Plan Objectives				.098	.000			.101	.000			.096	.000		
Demonstrates new skills consistent with case plan objectives	4,095	77.9%	777	19.0%			235	5.7%			122	3.0%			
Does not demonstrate new skills consistent with case plan objectives	1,164	22.1%	333	28.6%			140	12.0%			87	7.5%			

TABLE D2

RISK REASSESSMENT ITEM	SAMPLE DISTRIBUTION		ANY NEW INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				ANY NEW SUBSTANTIATED INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				NEW REMOVAL RELATED TO ANY INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT					
			N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
	TOTAL SAMPLE	5,259	100.0%	1,110	21.1%				375	7.1%			209	4.0%		
R10. Secondary Caregiver Progress With Case Plan Objectives					-.003	.402			.007	.310			.011	.208		
Demonstrates new skills consistent with case plan objectives or no secondary caregiver	4,217	80.2%	893	21.2%			297	7.0%			163	3.9%				
Does not demonstrate new skills consistent with case plan objectives	1,042	19.8%	217	20.8%			78	7.5%			46	4.4%				

These findings show that the risk reassessment is working well overall for families in California. Using information from the item analysis and regression analysis, Evident Change was able to make minor modifications to the risk reassessment that may improve its classification abilities. A proposed reassessment was developed using the same methods applied for the proposed initial risk assessment.

The revised risk reassessment (shown on the following page) features two changes. Revising item R1 (Number of Prior Neglect or Abuse CPS Investigations) improved the performance of the risk assessment. On the current assessment, a family is assigned 0 points for no prior investigations, one point for one investigation, and two points for two or more investigations. The revised version of the item assigns 0 points for no priors, one point for one or two priors, and two points for three or more prior investigations. A comparison of item R1 in its original and revised form appears below (Table D3). Given its strong relationship to outcomes, the item weight for recent investigation of child maltreatment investigations (R5) increased from one to two points. The cut points for risk level classification remain the same.

TABLE D3

## ITEM ANALYSIS OF CURRENT VERSUS REVISED ITEM R1 FOR THE FIRST RISK REASSESSMENT SAMPLE

RISK REASSESSMENT ITEM	SAMPLE DISTRIBUTION		ANY NEW INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				ANY NEW SUBSTANTIATED INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT				NEW REMOVAL RELATED TO ANY INVESTIGATION WITHIN NINE MONTHS OF FIRST REASSESSMENT			
	N	%	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE	N	%	CORR.	P VALUE
Current R1. Number of Prior Neglect or Abuse CPS Investigations					0.141	0.000			0.077	0.000			0.062	0.000
None	2,153	40.9%	336	15.6%			112	5.2%			58	2.7%		
One	1,216	23.1%	229	18.8%			78	6.4%			48	3.9%		
Two or more	1,890	35.9%	545	28.8%			185	9.8%			103	5.4%		
Revised R1. Number of Prior Neglect or Abuse CPS Investigations					0.170	0.000			0.086	0.000			0.052	0.000
None	2,608	49.6%	407	15.6%			137	5.3%			86	3.3%		
One or two	1,537	29.2%	322	20.9%			115	7.5%			54	3.5%		
Three or more	1,114	21.2%	381	34.2%			123	11.0%			69	6.2%		

Note. The revised version of item R1 is based on administrative data recorded in CWS/CMS. The current version of item R1 was taken directly from what was recorded on the risk reassessment. It is therefore possible that the two versions of these items do not always match.

**CALIFORNIA  
PROPOSED FAMILY RISK ASSESSMENT**

r: 07-13

**Referral Name:** \_\_\_\_\_ **Referral #:** \_\_\_\_\_ **Date:** \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**County Name:** \_\_\_\_\_ **Worker Name:** \_\_\_\_\_ **Worker ID#:** \_\_\_\_\_

<b>NEGLECT</b>	<b>Score</b>	<b>ABUSE</b>	<b>Score</b>
N1. Current Report Is for Neglect		A1. Current Report Is for Physical or Emotional Abuse	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N2. Two or More Prior Neglect Investigations (assign highest score that applies)		A2. Two or More Prior Abuse Investigations	
a. Fewer than two prior neglect investigations .....0		a. Fewer than two prior abuse investigations .....0	
b. Two prior neglect investigations .....1		b. Two prior abuse investigations .....1	
c. Three prior neglect investigations .....2 _____		c. Three or more prior abuse investigations .....2 _____	
N3. Any Prior Investigation for Abuse		A3. Any Prior Investigation for Neglect	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N4. Household Has Previously Received CPS (voluntary/court ordered)		A4. Household Has Previously Received CPS (voluntary/court ordered)	
a. No.....0		a. No .....0	
b. Yes, previously but not currently .....1		b. Yes, Previously but Not Currently .....1	
c. Yes, household currently receiving CPS .....2 _____		c. Yes, Household Currently Receiving CPS .....2 _____	
N5. Number of Children Involved in the Child Abuse/Neglect Incident		A5. Prior Physical Injury to a Child Resulting From Child Abuse/Neglect or Prior Substantiated Physical Abuse to a Child	
a. One, two, or three .....0		a. None/not applicable .....0	
b. Four or more .....1 _____		b. One or more apply .....1	
<input type="checkbox"/> Prior physical injury to a child resulting from CA/N		<input type="checkbox"/> Prior physical injury to a child resulting from CA/N	
<input type="checkbox"/> Prior substantiated physical abuse of a child		<input type="checkbox"/> Prior substantiated physical abuse of a child	
N6. Age of Youngest Child in the Home		A6. Number of Children Involved in the Child Abuse/Neglect Incident	
a. Two or older .....0		a. One, two, or three .....0	
b. Younger than two .....1 _____		b. Four or more .....1 _____	
N7. Characteristics of Children in Household		A7. Characteristics of Children in Household (score 1 if any present)	
a. Not applicable .....0		a. Not applicable .....0	
b. One or more present .....1		b. One or more present (mark all applicable) .....1	
<input type="checkbox"/> Developmental, learning, or physical disability		<input type="checkbox"/> Developmental disability	
<input type="checkbox"/> Developmental <input type="checkbox"/> Learning <input type="checkbox"/> Physical		<input type="checkbox"/> Learning disability	
<input type="checkbox"/> Medically fragile or failure to thrive		<input type="checkbox"/> Mental health or behavioral problem	
<input type="checkbox"/> Mental health or behavioral problem .....0			
N8. Primary or Secondary Caregiver Has a History of Abuse or Neglect as a Child		A8. Two or More Incidents of Domestic Violence in the Household in the Past Year	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N9. Primary or Secondary Caregiver Has/Had a Mental Health Problem		A9. Primary Caregiver Employs Excessive/Inappropriate Discipline	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N10. Primary or Secondary Caregiver Has/Had an Alcohol and/or Drug Problem		A10. Primary Caregiver Blames Child	
a. None/not applicable .....0		a. No .....0	
b. One or more apply (mark all applicable) .....1		b. Yes .....1 _____	
<input type="checkbox"/> Alcohol ( <input type="checkbox"/> Last 12 months and/or <input type="checkbox"/> Prior to the last 12 months)			
<input type="checkbox"/> Drugs ( <input type="checkbox"/> Last 12 months and/or <input type="checkbox"/> Prior to the last 12 months)			
N11. Primary or Secondary Caregiver Has Criminal Arrest History		A11. Primary or Secondary Caregiver Has a History of Abuse or Neglect as a Child	
a. No.....0		a. No .....0	
b. Yes .....1 _____		b. Yes .....1 _____	
N12. Current Housing		A12. Primary or Secondary Caregiver Has/Had a Mental Health Problem	
a. Not applicable .....0		a. No .....0	
b. One or more apply .....1		b. One or more apply .....1	
<input type="checkbox"/> Physically unsafe, AND/OR		<input type="checkbox"/> During the last 12 months	
<input type="checkbox"/> Family homeless		<input type="checkbox"/> Prior to the last 12 months	
<b>TOTAL NEGLECT RISK SCORE</b>	_____	<b>TOTAL ABUSE RISK SCORE</b>	_____

**SCORED RISK LEVEL.** Assign the family's scored risk level based on the highest score on either the neglect or abuse indices, using the following chart.

<b>Neglect Score</b>	<b>Abuse Score</b>	<b>Scored Risk Level</b>
<input type="checkbox"/> 0–2	<input type="checkbox"/> 0–1	<input type="checkbox"/> Low
<input type="checkbox"/> 3–5	<input type="checkbox"/> 2–4	<input type="checkbox"/> Moderate
<input type="checkbox"/> 6–8	<input type="checkbox"/> 5–7	<input type="checkbox"/> High
<input type="checkbox"/> 9 +	<input type="checkbox"/> 8 +	<input type="checkbox"/> Very High

**POLICY OVERRIDES.** Mark yes if a condition shown below is applicable in this case. If any condition is applicable, override the final risk level to very high.

Yes  No 1. Sexual abuse case AND the perpetrator is likely to have access to the child.  
 Yes  No 2. Non-accidental injury to a child under the age of two years.  
 Yes  No 3. Severe non-accidental injury.  
 Yes  No 4. Caregiver action or inaction resulted in the death of a child due to abuse or neglect (previous or current).

**DISCRETIONARY OVERRIDE.** If a discretionary override is made, mark yes, increase risk by one level, and indicate reason.

Yes  No 5. If yes, override risk level (mark one):  Moderate  High  Very High

Discretionary override reason: \_\_\_\_\_

Supervisor's Review/Approval of Discretionary Override: \_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**FINAL RISK LEVEL** (mark final level assigned):  Low  Moderate  High  Very High

#### RECOMMENDED DECISION

Final Risk Level	Recommendation
Low	Do Not Promote*
Moderate	Do Not Promote*
High	Promote
Very High	Promote

\*Unless there are unresolved safety threats.

#### PLANNED ACTION

Promote  
 Do Not Promote

If recommended decision and planned action do not match, explain why:

The proposed risk reassessment resulted in a better classification of families, especially at the time of the first risk reassessment. Sampled families were classified such that an increase in risk level corresponded to an increase in every outcome rate (see Table D4). For example, 4.1% of families classified as low risk at the time of the first reassessment had a subsequent substantiation during the nine-month follow-up period, compared to 6.8% of moderate-risk, 15.6% of high-risk, and 28.8% of very high-risk families. The increases were larger than those obtained by the current risk reassessment (see Table D1).

At the time of the second reassessment, only 27 families classified as very high risk, making it very difficult to interpret the results for these families. The proposed risk reassessment classified families at the time of the second reassessment such that an increase from moderate to high risk corresponded to an increase in all three outcomes.

TABLE D4								
PROPOSED RISK REASSESSMENT CLASSIFICATION BY SUBSEQUENT MALTREATMENT OUTCOMES								
RISK REASSESSMENT LEVEL	SAMPLE DISTRIBUTION		CASE OUTCOME RATES DURING THE NINE-MONTH FOLLOW-UP PERIOD					
	N	%	INVESTIGATION OF ANY ALLEGATION	N	%	SUBSTANTIATION FOR ANY ALLEGATION	N	%
<b>First Risk Reassessment Sample</b>								
Low	2,021	38.4%	258	12.8%	82	4.1%	46	2.3%
Moderate	2,528	48.1%	568	22.5%	172	6.8%	90	3.6%
High	630	12.0%	242	38.4%	98	15.6%	59	9.4%
Very High	80	1.5%	42	52.5%	23	28.8%	14	17.5%
<b>TOTAL SAMPLE</b>	<b>5,259</b>	<b>100.0%</b>	<b>1,110</b>	<b>21.1%</b>	<b>375</b>	<b>7.1%</b>	<b>209</b>	<b>4.0%</b>
<b>Second Risk Reassessment Sample</b>								
Low	869	40.3%	109	12.5%	28	3.2%	15	1.7%
Moderate	994	46.1%	236	23.7%	77	7.7%	37	3.7%
High	264	12.3%	82	31.1%	33	12.5%	18	6.8%
Very High	27	1.3%	14	51.9%	3	11.1%	1	3.7%
<b>TOTAL SAMPLE</b>	<b>2,154</b>	<b>100.0%</b>	<b>441</b>	<b>20.5%</b>	<b>141</b>	<b>6.5%</b>	<b>71</b>	<b>3.3%</b>

Due to a smaller sample size, the sample used to test the current performance of the risk reassessment could not be separated into construction and validation samples as in the risk assessment validation. Evident Change performed additional analyses to better ensure equitable performance of the revised risk assessment. The revised risk reassessment worked well for the three largest ethnic groups, and outcome rates subsequently increased with each increase in risk level (Table D5).

<b>TABLE D5</b>								
<b>PROPOSED RISK REASSESSMENT CLASSIFICATION AND SUBSEQUENT MALTREATMENT OUTCOMES BY ETHNICITY</b>								
<b>REVISED RISK REASSESSMENT LEVEL</b>	<b>SAMPLE DISTRIBUTION</b>		<b>CASE OUTCOME RATES DURING THE NINE-MONTH FOLLOW-UP PERIOD</b>					
	<b>N</b>		<b>INVESTIGATION OF ANY ALLEGATION</b>		<b>SUBSTANTIATION OF ANY ALLEGATION</b>		<b>CHILD REMOVAL</b>	
			<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>	<b>N</b>	<b>%</b>
<b>Black/African American</b>								
Low	240	29.2%	40	16.7%	11	4.6%	9	3.8%
Moderate	435	52.9%	121	27.8%	32	7.4%	19	4.4%
High	132	16.0%	67	50.8%	25	18.9%	18	13.6%
Very High	16	1.9%	9	56.3%	5	31.3%	2	12.5%
<b>Subtotal</b>	<b>823</b>	<b>100.0%</b>	<b>237</b>	<b>28.8%</b>	<b>73</b>	<b>8.9%</b>	<b>48</b>	<b>5.8%</b>
<b>Hispanic/Latino</b>								
Low	1,135	40.5%	150	13.2%	40	3.5%	23	2.0%
Moderate	1,341	47.9%	267	19.9%	86	6.4%	40	3.0%
High	291	10.4%	95	32.6%	39	13.4%	24	8.2%
Very High	33	1.2%	16	48.5%	9	27.3%	6	18.2%
<b>Subtotal</b>	<b>2,800</b>	<b>100.0%</b>	<b>528</b>	<b>18.9%</b>	<b>174</b>	<b>6.2%</b>	<b>93</b>	<b>3.3%</b>
<b>White</b>								
Low	470	35.7%	54	11.5%	24	5.1%	12	2.6%
Moderate	643	48.8%	162	25.2%	47	7.3%	26	4.0%
High	177	13.4%	68	38.4%	29	16.4%	15	8.5%
Very High	27	2.1%	15	55.6%	8	29.6%	5	18.5%
<b>Subtotal</b>	<b>1,317</b>	<b>100.0%</b>	<b>299</b>	<b>22.7%</b>	<b>108</b>	<b>8.2%</b>	<b>58</b>	<b>4.4%</b>

# APPENDIX E: DESCRIPTION OF COUNTIES ELIGIBLE FOR SAMPLING AND RISK CLASSIFICATION FINDINGS BY COUNTY

## DESCRIPTION OF COUNTIES ELIGIBLE FOR SAMPLING

Counties eligible for sampling must have implemented the SDM risk assessment prior to the start of the sample period (50 counties met this criteria). Child protection practices varied across these counties (Table E1). Overall, the counties assigned 67.4% of the referrals they received for investigation, though the counties' investigation rates varied between approximately 39% and 82%. The proportion of investigated referrals recommended for immediate response (within 24 hours) ranged from 5.3% to nearly half (43.7%). The proportion of investigations involving removal of a child ranged from approximately 0% to 19%. Counties also varied in the type of allegations for which families were investigated and the rate at which the county agency workers substantiated them.

TABLE E1

**COUNTY VARIANCE IN CASE ACTIONS TAKEN  
FOR INVESTIGATIONS JULY 1, 2010 – JUNE 30, 2011**

**CALIFORNIA SDM® COUNTIES THAT IMPLEMENTED PRIOR TO JULY 1, 2010**

CASE ACTION	OVERALL	MINIMUM	MAXIMUM
Percent of referrals investigated	67.4%	38.7%	82.3%
Percent of investigations assigned an immediate response	31.5%	5.3%	43.7%
Percent of investigations with a child removal	8.1%	0.0%	18.6%
Percent of investigations with a neglect allegation	65.9%	43.2%	92.6%
Percent of investigations with an abuse allegation	58.8%	22.0%	75.7%
Percent of investigations with a substantiated allegation	22.9%	10.5%	48.5%
Percent of inconclusive or substantiated investigations with a risk assessment available	87.0%	13.8%	100.0%

Table E2 illustrates case practices, allegations, and substantiation rates for each county. Table E3 reviews risk assessment completion rates and distribution for each county. Only counties with a risk assessment completion rate of 75% or higher were selected for sampling.<sup>11</sup> There were 33 California counties eligible for sampling. Table E4 reviews demographic information for the sampled counties based on data from the US Census Bureau.

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<sup>11</sup> The percent of investigations with a completed risk assessment is below 75% for Yuba County. These tables examine all referrals received during the timeframe, not rolled up by family. To choose who to include for the validation study, we examined each family's first investigation and evaluated whether or not that first investigation had a completed risk assessment. Counties with a 75% or higher completion rate were retained for analysis.

TABLE E2

**PREVALENCE OF CASE ACTIONS BY COUNTY  
FOR INVESTIGATIONS JULY 1, 2010 – JUNE 30, 2011  
CALIFORNIA SDM® COUNTIES THAT IMPLEMENTED PRIOR TO JULY 1, 2010**

COUNTY	TOTAL REFERRALS	% INVESTIGATED	TOTAL INVESTIGATIONS	% IMMEDIATE RESPONSE	% WITH REMOVAL DURING INVESTIGATION	ALLEGATIONS				INVESTIGATION DISPOSITION		
						NEGLECT AND NO ABUSE	NEGLECT AND ABUSE	ABUSE AND NO NEGLECT	AT RISK ONLY	UNFOUNDED	INCONCLUSIVE	SUBSTANTIATED
Alameda	9,341	44.4%	4,143	42.0%	10.5%	40.5%	2.7%	56.8%	0.0%	73.9%	8.8%	17.4%
Alpine	32	56.3%	18	27.8%	0.0%	66.7%	16.7%	16.7%	0.0%	38.9%	50.0%	11.1%
Butte	3,496	50.5%	1,767	29.8%	13.9%	49.7%	27.8%	22.5%	0.0%	53.2%	14.9%	31.9%
Calaveras	720	61.5%	443	16.5%	7.9%	66.4%	14.7%	19.0%	0.0%	40.9%	35.9%	23.3%
Colusa	187	67.4%	126	19.8%	11.1%	67.5%	5.6%	27.0%	0.0%	62.7%	9.5%	27.8%
Del Norte	941	47.0%	442	34.2%	10.2%	72.6%	13.3%	14.0%	0.0%	43.4%	32.1%	24.4%
El Dorado	2,438	60.3%	1,471	20.9%	5.7%	55.1%	25.2%	19.6%	0.0%	52.4%	25.9%	21.7%
Fresno	13,412	64.7%	8,674	36.7%	7.5%	51.1%	22.2%	26.6%	0.1%	68.4%	16.3%	15.3%
Glenn	553	50.6%	280	19.3%	8.6%	35.4%	28.9%	35.7%	0.0%	68.2%	9.3%	22.5%
Humboldt	2,395	42.3%	1,013	17.4%	10.2%	59.1%	14.9%	26.0%	0.0%	70.3%	14.4%	15.3%
Inyo	460	41.1%	189	26.5%	2.1%	40.7%	15.3%	43.9%	0.0%	63.5%	19.0%	17.5%
Kern	12,833	58.4%	7,489	35.1%	12.9%	50.6%	35.3%	14.0%	0.0%	51.5%	15.2%	33.3%
Kings	2,187	59.5%	1,302	34.3%	10.3%	60.1%	12.4%	27.5%	0.0%	58.2%	30.6%	11.2%
Lake	958	49.5%	474	13.3%	8.2%	47.9%	30.2%	21.9%	0.0%	36.7%	46.6%	16.7%
Lassen	556	67.8%	377	23.1%	4.5%	66.3%	14.9%	18.8%	0.0%	64.5%	19.1%	16.4%
Los Angeles	80,610	80.1%	64,583	39.2%	9.0%	29.8%	28.4%	41.7%	0.1%	50.5%	23.3%	26.2%
Madera	2,254	63.3%	1,426	19.4%	5.9%	43.1%	33.2%	23.7%	0.0%	58.2%	21.8%	20.0%
Marin	1,969	51.4%	1,013	29.3%	3.9%	24.3%	22.9%	52.8%	0.0%	73.6%	9.0%	17.4%
Mariposa	232	72.0%	167	33.5%	10.8%	70.7%	13.2%	16.2%	0.0%	43.7%	7.8%	48.5%
Mendocino	1,657	59.2%	981	19.1%	8.4%	56.1%	24.4%	19.6%	0.0%	46.5%	25.5%	28.0%
Merced	2,835	77.5%	2,198	38.4%	8.7%	52.4%	17.6%	30.0%	0.0%	76.2%	6.5%	17.3%
Modoc	215	61.9%	133	33.1%	4.5%	47.4%	25.6%	27.1%	0.0%	70.7%	18.8%	10.5%
Mono	161	50.9%	82	37.8%	1.2%	43.9%	22.0%	34.1%	0.0%	42.7%	26.8%	30.5%

TABLE E2

**PREVALENCE OF CASE ACTIONS BY COUNTY  
FOR INVESTIGATIONS JULY 1, 2010 – JUNE 30, 2011  
CALIFORNIA SDM® COUNTIES THAT IMPLEMENTED PRIOR TO JULY 1, 2010**

COUNTY	TOTAL REFERRALS	% INVESTIGATED	TOTAL INVESTIGATIONS	% IMMEDIATE RESPONSE	% WITH REMOVAL DURING INVESTIGATION	ALLEGATIONS				INVESTIGATION DISPOSITION		
						NEGLECT AND NO ABUSE	NEGLECT AND ABUSE	ABUSE AND NO NEGLECT	AT RISK ONLY	UNFOUNDED	INCONCLUSIVE	SUBSTANTIATED
Monterey	2,476	69.2%	1,713	31.6%	5.6%	38.2%	19.3%	42.4%	0.1%	74.4%	11.6%	14.0%
Nevada	1,012	58.9%	596	12.4%	8.2%	50.2%	17.4%	32.4%	0.0%	37.6%	43.3%	19.1%
Orange	17,895	64.5%	11,548	21.9%	7.4%	54.4%	11.9%	33.8%	0.0%	45.7%	18.2%	36.1%
Placer	2,844	65.7%	1,868	23.4%	5.9%	35.5%	16.7%	47.8%	0.0%	67.6%	13.0%	19.4%
Plumas	156	78.8%	123	25.2%	12.2%	78.0%	8.1%	13.8%	0.0%	51.2%	17.1%	31.7%
Riverside	22,154	82.2%	18,203	21.1%	8.2%	64.8%	27.8%	7.4%	0.1%	63.2%	14.0%	22.7%
Sacramento	15,703	62.2%	9,768	34.7%	8.1%	47.2%	24.4%	28.4%	0.0%	41.7%	39.4%	18.9%
San Benito	623	69.8%	435	37.2%	12.6%	41.1%	24.8%	34.0%	0.0%	62.1%	14.5%	23.4%
San Diego	38,419	59.1%	22,697	29.6%	6.0%	27.3%	27.2%	45.5%	0.0%	58.2%	23.7%	18.0%
San Francisco	5,253	49.6%	2,607	37.7%	7.9%	33.9%	17.3%	48.8%	0.0%	74.1%	5.9%	20.0%
San Joaquin	7,439	57.0%	4,237	23.5%	4.6%	35.6%	13.9%	50.4%	0.0%	51.1%	27.8%	21.1%
San Luis Obispo	3,361	46.1%	1,550	21.3%	7.9%	50.6%	18.1%	31.4%	0.0%	66.3%	11.0%	22.6%
San Mateo	3,391	77.2%	2,618	35.1%	4.9%	41.7%	17.6%	40.6%	0.0%	74.6%	13.8%	11.5%
Santa Barbara	4,034	82.3%	3,321	21.1%	5.9%	46.5%	21.5%	32.0%	0.0%	76.4%	7.4%	16.2%
Santa Cruz	2,865	62.9%	1,802	43.7%	7.7%	37.1%	29.5%	33.5%	0.0%	47.6%	29.4%	23.0%
Shasta	2,772	67.7%	1,877	15.1%	12.1%	59.2%	21.3%	19.6%	0.0%	54.3%	18.6%	27.1%
Sierra	56	67.9%	38	5.3%	2.6%	68.4%	7.9%	23.7%	0.0%	42.1%	23.7%	34.2%
Siskiyou	781	60.1%	469	16.6%	8.3%	65.5%	14.7%	19.8%	0.0%	35.4%	33.5%	31.1%
Solano	4,220	53.0%	2,235	16.1%	6.4%	35.0%	26.8%	38.2%	0.0%	59.2%	19.0%	21.8%
Sutter	860	48.7%	419	18.9%	12.2%	55.8%	10.5%	33.7%	0.0%	66.3%	11.2%	22.4%
Tehama	1,756	38.7%	679	31.2%	18.6%	45.5%	19.9%	34.6%	0.0%	63.0%	11.9%	25.0%
Trinity	151	64.2%	97	19.6%	12.4%	51.5%	9.3%	39.2%	0.0%	45.4%	18.6%	36.1%

TABLE E2

**PREVALENCE OF CASE ACTIONS BY COUNTY  
FOR INVESTIGATIONS JULY 1, 2010 – JUNE 30, 2011  
CALIFORNIA SDM® COUNTIES THAT IMPLEMENTED PRIOR TO JULY 1, 2010**

COUNTY	TOTAL REFERRALS	% INVESTIGATED	TOTAL INVESTIGATIONS	% IMMEDIATE RESPONSE	% WITH REMOVAL DURING INVESTIGATION	ALLEGATIONS				INVESTIGATION DISPOSITION		
						NEGLECT AND NO ABUSE	NEGLECT AND ABUSE	ABUSE AND NO NEGLECT	AT RISK ONLY	UNFOUNDED	INCONCLUSIVE	SUBSTANTIATED
Tulare	6,785	73.7%	5,003	33.2%	5.8%	54.2%	28.9%	16.8%	0.0%	79.9%	8.2%	12.0%
Tuolumne	730	58.2%	425	22.4%	10.1%	67.5%	19.5%	12.9%	0.0%	42.1%	33.4%	24.5%
Ventura	8,690	68.0%	5,908	16.2%	6.0%	38.5%	25.9%	35.6%	0.0%	79.2%	7.8%	13.0%
Yolo	1,351	64.3%	869	21.5%	10.0%	48.9%	27.2%	23.9%	0.0%	44.2%	29.5%	26.4%
Yuba	1,450	53.5%	776	32.3%	7.6%	55.0%	20.2%	24.7%	0.0%	56.7%	17.1%	26.2%
<b>TOTAL</b>	<b>297,669</b>	<b>67.4%</b>	<b>200,672</b>	<b>31.5%</b>	<b>8.1%</b>	<b>41.2%</b>	<b>24.7%</b>	<b>34.1%</b>	<b>0.0%</b>	<b>57.0%</b>	<b>20.2%</b>	<b>22.9%</b>

Table E4 compares the demographic characteristics of counties included in the sample based on information from the US Census Bureau.<sup>12</sup> Using this information in conjunction with case actions taken by each county may provide insight on child welfare trends with respect to population density, population growth, and poverty.

<sup>12</sup> Source: US Census Bureau: State and County QuickFacts. Data derived from Population Estimates, American Community Survey, Census of Population and Housing, State and County Housing Unit Estimates, County Business Patterns, Nonemployer Statistics, Economic Census, Survey of Business Owners, and Building Permits.

<http://quickfacts.census.gov/qfd/states/06/06001.html>

TABLE E4

## CENSUS BUREAU INFORMATION BY SAMPLED COUNTY

COUNTY	POPULATION ESTIMATE: JULY 1, 2012	POPULATION: APRIL 1, 2010 CENSUS	POPULATION % CHANGE APRIL 1, 2010, TO JULY 1, 2012	PERSONS PER SQUARE MILE, 2010	% BELOW POVERTY, 2007-2011	WHITE ALONE, 2012	BLACK OR AFRICAN AMERICAN ALONE, 2012	AMERICAN INDIAN AND ALASKA NATIVE ALONE, 2012	ASIAN ALONE, 2012	NATIVE HAWAIIAN AND OTHER PACIFIC ISLANDER ALONE, 2012	TWO OR MORE RACES, 2012	HISPANIC OR LATINO, 2012
STATE OF CALIFORNIA	38,041,430	37,253,956	2.1%	239.1	14.4%	73.7%	6.6%	1.7%	13.9%	0.5%	3.6%	38.2%
Alameda	1,554,720	1,510,271	2.9%	2,043.6	11.8%	52.3%	12.8%	1.2%	27.6%	1.0%	5.1%	22.7%
Alpine	1,129	1,175	-3.9%	1.6	15.2%	73.2%	0.4%	22.5%	1.1%	0.0%	2.8%	8.4%
Calaveras	44,742	45,578	-1.8%	44.7	8.3%	92.2%	1.0%	1.8%	1.4%	0.2%	3.4%	10.8%
Del Norte	28,290	28,610	-1.1%	28.4	21.2%	79.1%	3.8%	8.8%	3.5%	0.2%	4.6%	18.8%
El Dorado	180,561	181,058	-0.3%	106.0	8.4%	90.4%	0.9%	1.3%	3.8%	0.2%	3.4%	12.2%
Glenn	27,992	28,122	-0.5%	21.4	18.8%	90.2%	1.1%	3.0%	2.9%	0.2%	2.7%	38.7%
Humboldt	134,827	134,623	0.2%	37.7	18.4%	84.5%	1.3%	6.2%	2.5%	0.3%	5.3%	10.3%
Inyo	18,495	18,546	-0.3%	1.8	11.7%	81.8%	0.8%	12.7%	1.5%	0.1%	3.0%	20.3%
Kern	856,158	839,631	2.0%	103.3	21.4%	83.0%	6.3%	2.7%	4.8%	0.3%	3.0%	50.3%
Kings	151,364	152,982	-1.1%	110.1	19.3%	81.4%	7.5%	3.0%	4.3%	0.3%	3.5%	52.0%
Lake	63,983	64,665	-1.1%	51.5	21.4%	88.1%	2.0%	4.1%	1.3%	0.2%	4.3%	18.0%
Lassen	33,658	34,895	-3.5%	7.7	14.6%	81.5%	9.0%	4.3%	1.3%	0.6%	3.4%	18.2%
Los Angeles	9,962,789	9,818,605	1.5%	2,419.6	16.3%	71.6%	9.3%	1.5%	14.5%	0.4%	2.8%	48.2%
Marin	256,069	252,409	1.5%	485.1	7.2%	86.3%	2.9%	1.1%	5.9%	0.2%	3.6%	15.7%
Mendocino	87,428	87,841	-0.5%	25.1	17.8%	86.9%	0.9%	6.3%	1.9%	0.2%	3.8%	23.0%
Modoc	9,327	9,686	-3.7%	2.5	19.8%	88.9%	1.1%	5.1%	1.1%	0.3%	3.5%	14.4%
Nevada	98,292	98,764	-0.5%	103.1	10.3%	94.0%	0.5%	1.2%	1.3%	0.1%	2.9%	8.9%
Orange	3,090,132	3,010,232	2.7%	3,807.7	10.9%	74.5%	2.0%	1.1%	18.9%	0.4%	3.2%	34.1%
Riverside	2,268,783	2,189,641	3.6%	303.8	14.2%	80.8%	7.0%	1.9%	6.6%	0.4%	3.3%	46.5%

TABLE E4

## CENSUS BUREAU INFORMATION BY SAMPLED COUNTY

COUNTY	POPULATION ESTIMATE: JULY 1, 2012	POPULATION: APRIL 1, 2010 CENSUS	POPULATION % CHANGE APRIL 1, 2010, TO JULY 1, 2012	PERSONS PER SQUARE MILE, 2010	% BELOW POVERTY, 2007-2011	WHITE ALONE, 2012	BLACK OR AFRICAN AMERICAN ALONE, 2012	AMERICAN INDIAN AND ALASKA NATIVE ALONE, 2012	ASIAN ALONE, 2012	NATIVE HAWAIIAN AND OTHER PACIFIC ISLANDER ALONE, 2012	TWO OR MORE RACES, 2012	HISPANIC OR LATINO, 2012
STATE OF CALIFORNIA	38,041,430	37,253,956	2.1%	239.1	14.4%	73.7%	6.6%	1.7%	13.9%	0.5%	3.6%	38.2%
Sacramento	1,450,121	1,418,788	2.2%	1,470.8	14.9%	65.3%	10.9%	1.6%	15.3%	1.2%	5.8%	22.0%
San Benito	56,884	55,269	2.9%	39.8	11.3%	88.7%	1.3%	3.1%	3.3%	0.4%	3.3%	57.3%
San Diego	3,177,063	3,095,313	2.6%	735.8	13.0%	76.7%	5.6%	1.3%	11.6%	0.6%	4.2%	32.7%
San Luis Obispo	274,804	269,637	1.9%	81.7	13.2%	89.2%	2.3%	1.4%	3.7%	0.2%	3.3%	21.5%
San Mateo	739,311	718,451	2.9%	1,602.2	7.0%	63.8%	3.1%	0.9%	26.4%	1.6%	4.3%	25.4%
Santa Cruz	266,776	262,382	1.7%	589.4	13.7%	88.0%	1.4%	1.7%	4.8%	0.2%	3.9%	32.7%
Shasta	178,586	177,223	0.8%	46.9	17.2%	88.9%	1.0%	3.1%	2.7%	0.2%	4.1%	8.9%
Siskiyou	44,154	44,900	-1.7%	7.2	18.4%	87.7%	1.5%	4.5%	1.3%	0.3%	4.8%	11.1%
Solano	420,757	413,344	1.8%	503.0	10.8%	60.6%	15.0%	1.2%	15.5%	1.0%	6.6%	24.8%
Trinity	13,526	13,786	-1.9%	4.3	17.6%	88.8%	0.5%	4.9%	0.8%	0.2%	4.8%	7.0%
Tuolumne	54,008	55,365	-2.5%	24.9	13.3%	91.1%	2.2%	2.2%	1.2%	0.2%	3.2%	11.1%
Ventura	835,981	823,318	1.5%	446.7	9.9%	85.2%	2.2%	1.8%	7.3%	0.3%	3.2%	41.2%
Yolo	204,118	200,849	1.6%	197.9	18.6%	76.2%	3.0%	1.8%	13.6%	0.6%	4.8%	31.0%
Yuba	72,926	72,155	1.1%	114.2	20.3%	79.7%	3.8%	3.0%	7.2%	0.5%	5.9%	26.2%

## RISK CLASSIFICATION RESULTS BY COUNTY

The following tables compare risk assessment classification findings for the current and proposed risk assessments for counties with sample sizes of more than 500 families. Table E5 compares risk assessment classification findings for the current risk assessment. The distribution of families by risk level classification differed across counties (see Table E5, columns two and three), but an increase in risk level corresponded to an increase for each outcome rate in every county, with the exception of the new investigation outcome for the smaller counties combined (i.e., there was not an increase in the new investigation outcome for high-risk families versus very high-risk families).

TABLE E5

### CURRENT OVERALL RISK CLASSIFICATION RESULTS BY COUNTY

SCORED RISK LEVEL	SAMPLE DISTRIBUTION		NEW INVESTIGATION WITHIN 18 MONTHS		NEW SUBSTANTIATED INVESTIGATION WITHIN 18 MONTHS		NEW REMOVAL RELATED TO INVESTIGATION WITHIN 18 MONTHS	
	N	%	N	%	N	%	N	%
TOTAL SAMPLE	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
<b>Kern</b>								
Low	88	17.4%	21	23.9%	9	10.2%	3	3.4%
Moderate	210	41.5%	68	32.4%	34	16.2%	11	5.2%
High	140	27.7%	56	40.0%	35	25.0%	19	13.6%
Very High	68	13.4%	34	50.0%	18	26.5%	11	16.2%
<b>Subtotal</b>	<b>506</b>	<b>100.0%</b>	<b>179</b>	<b>35.4%</b>	<b>96</b>	<b>19.0%</b>	<b>44</b>	<b>8.7%</b>
<b>Los Angeles</b>								
Low	1,226	25.5%	211	17.2%	55	4.5%	12	1.0%
Moderate	2,214	46.0%	666	30.1%	244	11.0%	86	3.9%
High	1,057	22.0%	459	43.4%	207	19.6%	96	9.1%
Very High	314	6.5%	173	55.1%	82	26.1%	50	15.9%
<b>Subtotal</b>	<b>4,811</b>	<b>100.0%</b>	<b>1,509</b>	<b>31.4%</b>	<b>588</b>	<b>12.2%</b>	<b>244</b>	<b>5.1%</b>

TABLE E5

## CURRENT OVERALL RISK CLASSIFICATION RESULTS BY COUNTY

SCORED RISK LEVEL	SAMPLE DISTRIBUTION		NEW INVESTIGATION WITHIN 18 MONTHS		NEW SUBSTANTIATED INVESTIGATION WITHIN 18 MONTHS		NEW REMOVAL RELATED TO INVESTIGATION WITHIN 18 MONTHS	
	N	%	N	%	N	%	N	%
TOTAL SAMPLE	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
<b>Orange</b>								
Low	445	42.0%	59	13.3%	25	5.6%	2	.4%
Moderate	468	44.2%	115	24.6%	52	11.1%	14	3.0%
High	124	11.7%	46	37.1%	25	20.2%	11	8.9%
Very High	22	2.1%	10	45.5%	4	18.2%	3	13.6%
<b>Subtotal</b>	<b>1,059</b>	<b>100.0%</b>	<b>230</b>	<b>21.7%</b>	<b>106</b>	<b>10.0%</b>	<b>30</b>	<b>2.8%</b>
<b>Riverside</b>								
Low	221	21.1%	47	21.3%	18	8.1%	8	3.6%
Moderate	465	44.3%	165	35.5%	57	12.3%	28	6.0%
High	276	26.3%	123	44.6%	45	16.3%	25	9.1%
Very High	87	8.3%	43	49.4%	21	24.1%	9	10.3%
<b>Subtotal</b>	<b>1,049</b>	<b>100.0%</b>	<b>378</b>	<b>36.0%</b>	<b>141</b>	<b>13.4%</b>	<b>70</b>	<b>6.7%</b>
<b>Sacramento</b>								
Low	175	18.7%	27	15.4%	7	4.0%	2	1.1%
Moderate	416	44.5%	114	27.4%	37	8.9%	18	4.3%
High	246	26.3%	97	39.4%	31	12.6%	16	6.5%
Very High	97	10.4%	45	46.4%	20	20.6%	8	8.2%
<b>Subtotal</b>	<b>934</b>	<b>100.0%</b>	<b>283</b>	<b>30.3%</b>	<b>95</b>	<b>10.2%</b>	<b>44</b>	<b>4.7%</b>
<b>San Diego</b>								
Low	398	27.9%	60	15.1%	16	4.0%	6	1.5%
Moderate	629	44.1%	205	32.6%	55	8.7%	33	5.2%
High	305	21.4%	152	49.8%	44	14.4%	23	7.5%
Very High	94	6.6%	48	51.1%	18	19.1%	13	13.8%
<b>Subtotal</b>	<b>1,426</b>	<b>100.0%</b>	<b>465</b>	<b>32.6%</b>	<b>133</b>	<b>9.3%</b>	<b>75</b>	<b>5.3%</b>

TABLE E5

## CURRENT OVERALL RISK CLASSIFICATION RESULTS BY COUNTY

SCORED RISK LEVEL	SAMPLE DISTRIBUTION		NEW INVESTIGATION WITHIN 18 MONTHS		NEW SUBSTANTIATED INVESTIGATION WITHIN 18 MONTHS		NEW REMOVAL RELATED TO INVESTIGATION WITHIN 18 MONTHS	
	N	%	N	%	N	%	N	%
TOTAL SAMPLE	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
All Other Counties								
Low	287	17.3%	56	19.5%	19	6.6%	9	3.1%
Moderate	728	43.9%	272	37.4%	100	13.7%	37	5.1%
High	475	28.6%	202	42.5%	81	17.1%	42	8.8%
Very High	169	10.2%	67	39.6%	32	18.9%	20	11.8%
Subtotal	1,659	100.0%	597	36.0%	232	14.0%	108	6.5%

Table E6 compares risk assessment classification findings for the proposed risk assessment. The distribution of families by risk level classification continues to differ across counties. Across counties, an increase in risk level corresponded to an increase in every outcome rate examined with one exception (outcomes for Riverside County's very high-risk families were lower than high-risk family investigation and substantiation outcomes, though results are difficult to interpret because only 51 families were classified as very high risk). For most counties, outcome rates for families classified as high and very high risk were higher than those of families similarly classified by the current risk assessment.

TABLE E6

## PROPOSED OVERALL RISK CLASSIFICATION RESULTS BY COUNTY

SCORED RISK LEVEL	SAMPLE DISTRIBUTION		NEW INVESTIGATION WITHIN 18 MONTHS		NEW SUBSTANTIATED INVESTIGATION WITHIN 18 MONTHS		NEW REMOVAL RELATED TO INVESTIGATION WITHIN 18 MONTHS	
	N	%	N	%	N	%	N	%
TOTAL SAMPLE	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
<b>Kern</b>								
Low	59	11.7%	11	18.6%	5	8.5%	2	3.4%
Moderate	268	53.0%	80	29.9%	42	15.7%	15	5.6%
High	140	27.7%	67	47.9%	38	27.1%	19	13.6%
Very High	39	7.7%	21	53.8%	11	28.2%	8	20.5%
<b>Subtotal</b>	<b>506</b>	<b>100.0%</b>	<b>179</b>	<b>35.4%</b>	<b>96</b>	<b>19.0%</b>	<b>44</b>	<b>8.7%</b>
<b>Los Angeles</b>								
Low	1,055	21.9%	174	16.5%	45	4.3%	13	1.2%
Moderate	2,481	51.6%	710	28.6%	263	10.6%	90	3.6%
High	1,011	21.0%	470	46.5%	210	20.8%	103	10.2%
Very High	264	5.5%	155	58.7%	70	26.5%	38	14.4%
<b>Subtotal</b>	<b>4,811</b>	<b>100.0%</b>	<b>1,509</b>	<b>31.4%</b>	<b>588</b>	<b>12.2%</b>	<b>244</b>	<b>5.1%</b>
<b>Orange</b>								
Low	471	44.5%	70	14.9%	30	6.4%	3	.6%
Moderate	479	45.2%	119	24.8%	56	11.7%	19	4.0%
High	93	8.8%	34	36.6%	17	18.3%	5	5.4%
Very High	16	1.5%	7	43.8%	3	18.8%	3	18.8%
<b>Subtotal</b>	<b>1,059</b>	<b>100.0%</b>	<b>230</b>	<b>21.7%</b>	<b>106</b>	<b>10.0%</b>	<b>30</b>	<b>2.8%</b>
<b>Riverside</b>								
Low	193	18.4%	37	19.2%	15	7.8%	5	2.6%
Moderate	556	53.0%	184	33.1%	61	11.0%	30	5.4%
High	249	23.7%	133	53.4%	54	21.7%	29	11.6%
Very High	51	4.9%	24	47.1%	11	21.6%	6	11.8%
<b>Subtotal</b>	<b>1,049</b>	<b>100.0%</b>	<b>378</b>	<b>36.0%</b>	<b>141</b>	<b>13.4%</b>	<b>70</b>	<b>6.7%</b>

TABLE E6

## PROPOSED OVERALL RISK CLASSIFICATION RESULTS BY COUNTY

SCORED RISK LEVEL	SAMPLE DISTRIBUTION		NEW INVESTIGATION WITHIN 18 MONTHS		NEW SUBSTANTIATED INVESTIGATION WITHIN 18 MONTHS		NEW REMOVAL RELATED TO INVESTIGATION WITHIN 18 MONTHS	
	N	%	N	%	N	%	N	%
TOTAL SAMPLE	11,444	100.0%	3,641	31.8%	1,391	12.2%	615	5.4%
<b>Sacramento</b>								
Low	190	20.3%	24	12.6%	7	3.7%	2	1.1%
Moderate	492	52.7%	152	30.9%	47	9.6%	24	4.9%
High	207	22.2%	80	38.6%	28	13.5%	12	5.8%
Very High	45	4.8%	27	60.0%	13	28.9%	6	13.3%
<b>Subtotal</b>	<b>934</b>	<b>100.0%</b>	<b>283</b>	<b>30.3%</b>	<b>95</b>	<b>10.2%</b>	<b>44</b>	<b>4.7%</b>
<b>San Diego</b>								
Low	324	22.7%	43	13.3%	11	3.4%	7	2.2%
Moderate	736	51.6%	236	32.1%	66	9.0%	34	4.6%
High	297	20.8%	141	47.5%	38	12.8%	21	7.1%
Very High	69	4.8%	45	65.2%	18	26.1%	13	18.8%
<b>Subtotal</b>	<b>1,426</b>	<b>100.0%</b>	<b>465</b>	<b>32.6%</b>	<b>133</b>	<b>9.3%</b>	<b>75</b>	<b>5.3%</b>
<b>All Other Counties</b>								
Low	290	17.5%	60	20.7%	18	6.2%	4	1.4%
Moderate	855	51.5%	297	34.7%	107	12.5%	47	5.5%
High	443	26.7%	199	44.9%	89	20.1%	44	9.9%
Very High	71	4.3%	41	57.7%	18	25.4%	13	18.3%
<b>Subtotal</b>	<b>1,659</b>	<b>100.0%</b>	<b>597</b>	<b>36.0%</b>	<b>232</b>	<b>14.0%</b>	<b>108</b>	<b>6.5%</b>