

# CHAPTER 2

## Introducing the Law, the Child Protection System & the Courts



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## CHAPTER 2

# Introducing the Law, the Child Protection System & the Courts



### Getting in Gear

Look and listen for media reports (newspaper stories, magazine articles, TV reports, and/or radio broadcasts) regarding child abuse today. Make notes about information that you find. You will use the information that you gather to compare child abuse today with child abuse historically.

Also, as preparation for Chapter 1, you read the Parker-Solano training case. Many of the activities in this chapter also rely on the material in the case study, so you may wish to review that case as preparation for this chapter.



### Goal

In this chapter, I will increase my understanding of child abuse and neglect issues and the history of the child advocacy movement. I will be introduced to the laws, the child protection system, and the court procedures that apply to my work as a CASA/GAL volunteer.



### Objectives

#### ***By the end of this chapter, I will be able to...***

- ✓ Describe the history of the child advocacy movement.
- ✓ Identify applicable state, tribal, and local laws (e.g., mandatory reporting) and understand how these laws guide the work of the CASA/GAL volunteer.
- ✓ Define how a case enters the child protective services system and the court system.
- ✓ Describe indicators of child abuse and neglect.
- ✓ Identify the perspectives and roles of the various participants in a child abuse/neglect court case.
- ✓ Describe issues of confidentiality in CASA/GAL volunteer work.
- ✓ Summarize the juvenile court process.



## Reporting In

In this chapter you will find one or more assignments identified by the “Reporting In” heading (as seen above). You will need to complete, copy, and submit these assignments as prearranged to CASA/GAL program staff for review at the debriefing session for this chapter.



## Parking Lot

At the end of this chapter you will find a page designated as the “Parking Lot.” Find and bookmark this page now, and use it throughout the chapter to note any questions, ideas, or concerns that you wish to discuss with CASA/GAL program staff.

**Comment [v1]:** The “Parking Lot” is also the spot where you will keep track of the hours spent on this chapter.

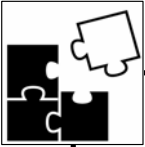
# UNIT 1: Setting the Context—The History of the Child Advocacy Movement

## Child Abuse & Neglect Have Always Existed

For many people, their cultural history is not one that valued children. There are clear exceptions to this, such as the historical roots of some Native American cultures in which children were respected and protected. However, the following conditions existed in many cultures from ancient times well into the Middle Ages:

- ✓ Infanticide (the willful killing of a child) was not uncommon—particularly for weak or “deformed” infants and for female children;
- ✓ Children were viewed as the property (chattel) of the head of the family (the father or senior male householder), who literally had the power of life and death over them;
- ✓ Abandonment, beatings, whippings, and other forms of severe physical discipline were common practice; and
- ✓ Children were not recognized as persons and they had no rights.

The laws of the United States of America grew out of this historical view of children. We will explore the development from this foundation to current laws, which place a greater value on the worth and rights of the children of our society.



## Activity 2A: The Story of “Mary Ellen”

Read the story of “Mary Ellen,” which follows, and then answer these questions:

**Why do you think Mary Ellen’s situation happened?**

**Considering the media accounts that you gathered, what similarities and differences do you see between Mary Ellen’s situation and child abuse today?**

**Similarities:**

**Differences:**

**Comment [v2]:** Child Abuse “A Slide Show” can fit in here. This page has to be longer to fill in the blanks.

## The Story of “Mary Ellen”

Following is one of the first documented cases of child abuse in the United States:

Mary Ellen’s case took place in 1874. Her spirit remains with us because her case is generally regarded as the beginning of public concern for the plight of abused and neglected children.

Mary Ellen was a child whose mother and father were dead. The New York Commission of Charities and Correction had given her to a Mr. and Mrs. Connolly, who were to care for her and report each year on her progress.

Instead, the Connollys abused her. She was beaten, locked in a room, rarely allowed outside, and not given adequate food or clothing.

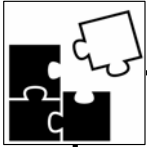
A neighbor who had been upset by the child’s screaming told a mission worker about Mary Ellen. The mission worker could find no one to intervene; the police had no grounds because no crime was being committed, and the agencies wouldn’t get involved because they did not have legal custody.

An appeal was finally made to Henry Bergh, the founder and president of the SPCA, the Society for the Prevention of Cruelty to Animals. He took up her cause and was able to persuade a judge to hear her case.

Mary Ellen was carried into the courtroom wrapped in a horse blanket. This is what the newspaper reported that she told the judge:

“My father and mother are dead. I don’t know how old I am. I call Mrs. Connolly mama. I have never had but one pair of shoes, but I cannot recollect when that was... My bed at night has been only a piece of carpet stretched on the floor underneath a window. Mama has been in the habit of whipping and beating me almost every day. She used to whip me with a twisted whip—a raw hide. [Mama] struck me with the scissors and cut me... I have no recollection of ever having been kissed by anyone—have never been kissed by Mama. Whenever Mama went out I was locked up in the bedroom. I do not want to go back to live with Mama because she beats me so.”

Mary Ellen was removed from the people who had mistreated her. Her case stirred public attention and complaints began to pour in to Henry Bergh. So many cases of child beating and cruelty to children came to light that a community meeting of citizens was called and an association “for the defense of outraged childhood” was formed. That association gave rise to the Society for the Prevention of Cruelty to Children, which was formally incorporated the year after Mary Ellen’s situation came to light.



## Activity 2B: Child Abuse & Neglect Laws & the Court Advocacy Movement

Read the following information about the evolution of child abuse and neglect laws in the United States and the development of the child abuse court advocacy movement. Put a star (★) by the events that seem most important as you consider the CASA/GAL volunteer work that you are about to begin.

### The Evolution of Child Abuse & Neglect Laws in the United States

- ✓ In the city of New York in 1874, the case of “Mary Ellen” triggered public concern about abused and neglected children.
- ✓ Until the early part of the twentieth century, little attention was paid to the fates of children who were used as cheap labor in mines and factories.
  - Textile mills, glass factories, and coal mines relied heavily on child labor during the nineteenth and early twentieth centuries.
  - Many of these child laborers were under age twelve and some were as young as age four. They worked twelve to fifteen hours a day for minimal wages; many died from on-the-job injuries or suffered from occupational diseases such as black lung.
  - Child labor was cheap and there were no controls or regulations regarding safety, health, and sanitation.
  - In 1938, the Fair Labor Standards Act provided the first legal rights of children by setting the minimum age for child labor at sixteen for employment during school hours.
- ✓ Medical attention to the problem of abused and neglected children occurred in the middle of the twentieth century.
  - The x-ray was developed in 1910, and by 1946, Dr. John Caffey was reporting cases of children with subdural (under the skin) injuries and untreated fractures.
  - In 1955, Wooley and Evans spoke out against physicians who ignored the fact that multiple injuries to children were being willfully committed by their parents.
  - In 1962, Dr. C. Henry Kempe’s term “battered child syndrome” captured public attention.
  - With leadership from the medical profession, legislative action followed. By 1965, every state had enacted a child abuse reporting law.

- ✓ Beginning in the 1970s, the United States Congress became aware (along with the rest of the nation) that the child welfare system was not adequately protecting children and their families.
- Congress enacted the Child Abuse Prevention and Treatment Act (Public Law 93-247) in 1974 (amended in 1996), which created the National Center on Child Abuse and Neglect and earmarked federal funds for states to establish special programs for child victims of abuse or neglect. This law requires that states:
  - Have child abuse and neglect reporting laws;
  - Investigate reports of abuse and neglect;
  - Educate the public about abuse and neglect;
  - Provide a guardian ad litem to every abused or neglected child whose case results in a judicial proceeding; and
  - Maintain the confidentiality of child protective services records.
- In 1978, Congress enacted the Indian Child Welfare Act (Public Law 95-608) as a result of congressional hearings in the 1970s that had revealed a pattern of public and private removal of Indian children from their homes, undermining Indian families and threatening tribal survival and Indian culture. The act was designed to implement the federal government's trust responsibility to tribes by protecting and preserving the bond between Indian children and their tribe and culture. The act sets up placement preference schemes for foster care placements and adoptions of children who have been determined to be Indian children. It also establishes the right of certain entities to appear as parties, including the tribe and the Indian custodian, if one exists. The act determines when and if a case should be transferred to tribal court. Many procedural and substantive rights of the Indian child and the child's tribe exist under the act.
- In 1980, Congress enacted the Adoption Assistance and Child Welfare Act (Public Law 96-272), which is a blueprint for combined efforts of the judicial, executive, and legislative branches of government to preserve families and, if necessary, to build new families for children. The Adoption Assistance and Child Welfare Act of 1980 requires that states:
  - Recruit culturally diverse foster and adoptive families;
  - Comply with the Indian Child Welfare Act;
  - Establish standards for foster family homes and review the standards periodically;
  - Set goals and a plan for the number of children who will be in foster care for more than twenty-four months;
  - Provide "reasonable efforts" to prevent or eliminate the need for removal of the child from his/her home or to make it possible for the child to return to his/her home;
  - Provide a dispositional hearing for every child in foster care within eighteen months of placement and every twelve months thereafter; and
  - Have a data collection and reporting system about the children in care.
- In 1993, through court improvement legislation, Congress recognized the courts' critical role in child welfare and encouraged reform in the court system.

- In 1994, the Multi-Ethnic Placement Act was made law. The goals of the Multi-Ethnic Placement Act of 1994 are to:
  - Decrease the time children wait to be adopted;
  - Prevent discrimination on the basis of race, color, or national origin in the placement of children and in the selection of foster and adoptive placements; and
  - Facilitate the development of a diverse pool of foster and adoptive families.
- In 1996, the Child Abuse Prevention and Treatment Act was amended to include Court Appointed Special Advocates as guardians ad litem.
- In 1997, Congress passed the Adoption and Safe Families Act (Public Law 105-89), which embodies three key principles:
  - The safety of children is the paramount concern;
  - Foster care is a temporary setting and not a place for children to grow up; and
  - Permanency planning should begin as soon as the child enters foster care.

Additionally, the Adoption and Safe Families Act stresses that the child welfare system must focus on positive results and accountability and that innovative approaches are needed to achieve the goals of safety, permanence, and well-being for children. ASFA is the guiding law that directs the time lines under which we currently operate—ASFA requires that plans must be in place after twelve rather than twenty-four months, dispositional hearings must be held within twelve months rather than eighteen months of placement, and court reviews occur every six months rather than every twelve months. Additional ASFA time lines will be addressed later in this chapter.

- In 1997, the Volunteer Protection Act defined the liability of volunteers.
- In 1999, the Foster Care Independence Act addressed the needs of older youth in foster care, particularly those youth aging out of the system.

From a historical perspective, it can be said that we are still relatively new to the concepts of protecting abused and neglected children and developing appropriate systems, methods, and programs to cope with the problems these children face.

*(Note: Detailed summaries of the federal laws that impact the work of the CASA/GAL volunteer appear in the Resource Materials section of this chapter.)*

## The Development of the Child Abuse Court Advocacy Movement

### Across the Nation

The national movement to have the independent voice of child victims heard in court began in the 1960s. Judges realized they were making far-reaching decisions about the lives of children without hearing the unique perspective of the child. Some judges asked social workers or friends to informally investigate child abuse cases and make recommendations about what would best serve the needs and interests of the child.

The first volunteer guardian ad litem (GAL) program serving abused and neglected children was organized by King County Judge David Soukup in 1977 in Seattle, Washington. In the following years, word of the success of the King County program spread like wildfire, and similar programs began all over the United States.

Because some state statutes require the guardian ad litem to be an attorney, the term Court Appointed Special Advocate—CASA—was coined to describe volunteers from the local community trained to serve as advocates for abused and neglected children involved in juvenile court proceedings.

In 1982, the National CASA Association, Inc., was established to serve as an umbrella organization for the growing number of programs in the country. National CASA provides information, technical assistance, research, and training. National CASA also sponsors an annual national conference and has a grants program that annually awards millions of dollars to state and local CASA and guardian ad litem programs. Membership in National CASA is open to both individuals and programs. The National CASA phone number is 800-628-3233 and their websites are [www.nationalcasa.org](http://www.nationalcasa.org) and [www.casenet.org](http://www.casenet.org).

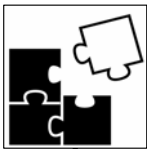
### **Closer to Home**

In this state and this community, the development of protections for children followed the national movement.

## UNIT 2: Laws Governing Child Abuse & Neglect Cases

State laws are largely based on the requirements of federal legislation. In local jurisdictions governed by tribal laws, the Indian Child Welfare Act takes precedence over conflicting federal and state laws. Each state legislature must make its own decisions about how to meet the requirements of federal laws *and* the needs of the state. State laws translate community standards into state standards. It is important for the CASA/GAL volunteer to be familiar with the laws in order to make appropriate advocacy decisions for his/her child. It is also important to know the laws that guide this work because a CASA/GAL volunteer operates in the legal arena—the court is the final arbiter. The CASA/GAL volunteer will be better able to explain the court proceedings and court outcomes to the child if he/she understands the laws that guide the court’s decisions.

### State, Tribal & Local Laws Governing Child Abuse & Neglect Cases



#### Activity 2C: Researching Your State, Tribal, and/or Local Laws

**Part 1:** Read the summaries of important federal laws governing child abuse and neglect cases in the Resource Materials section found at the end of this chapter. As you read, put a question mark (?) in the margin to note any questions you have about the laws. Be sure to ask CASA/GAL program staff to address your questions when you meet to discuss your work. Also, put a star (★) in the margin to mark one thing you find hopeful or promising for children as you read.

**Part 2:** Now, read the list that follows of state, tribal, and/or local laws that govern child abuse and neglect cases in your jurisdiction. On the Internet look up two of the state, tribal, and/or local laws that most interest you. Use the Reporting In form that follows the list of state, tribal, and/or local laws to document your research. When you’ve completed the chapter, make a copy of your work to submit to CASA/GAL program staff for review.

The state, tribal, and/or local laws that govern child abuse and neglect define terminology related to abuse, neglect, and dependency, and they outline the procedures for responding to cases of child maltreatment to ensure that the rights of children and families are protected. The (name of the law/statute) determines what is to be done by whom, from the initial report of suspected abuse until the case is closed. Specifically, these laws outline:

1. Definitions of abuse, neglect, and dependency (ref.);
2. Requirements for reporting suspected child abuse and neglect (ref.);
3. Responsibility of (name of child welfare agency) to offer protective services and of (name of child welfare or law enforcement agency) to screen and investigate reported incidents of child abuse and neglect (ref.);
4. Conditions under which (name of state child welfare agency) is required to invoke the jurisdiction of the court (ref.);
5. Circumstances under which children may be removed from their homes (ref.);
6. Role of the CASA/GAL volunteer (ref.);
7. Required court hearings and when they should be held (ref.);
8. Guidelines judges must follow and options they may choose as they make decisions about the child's placement, care, or treatment (ref.);
9. What the law requires of parents (ref.);
10. What judges must include in their court orders (ref.);
11. How court decisions may be appealed (ref.);
12. Open vs. closed courtrooms (ref.);
13. Confidentiality of juvenile records (ref.);
14. Rights of foster parents (ref.);
15. Other relevant state statutes (ref.).

They also outline any court orders or lawsuit settlements under which the state is operating (ref.) and relevant court rules and administrative orders, if any.

The following sections further explore laws that govern child abuse and neglect cases. Because the work of the CASA/GAL volunteer occurs within the context of the court, familiarity with these laws will help the volunteer maximize opportunities to be an effective advocate for children.



# REPORTING IN

**Internet Research on State, Tribal, and/or Local Laws**

**Directions:** Use this form to describe three things you learned from the Internet research you conducted in Part 2 of Activity 2C.

1.
2.
3.

Submit a completed copy of this form to CASA/GAL program staff.



# UNIT 3: How a Case Enters the Child Protective Services System

## Child Abuse & Neglect



### Did You Know That...

- *There are over one million cases of abuse documented each year.*
- *Over 1250 children will die each year as the direct result of identifiable abuse or neglect.*
- *The majority of child abuse and neglect deaths are children under five.*
- *Nine out of ten abusers are the child's own parents/guardians.*
- *One out of four girls and one out of five to seven boys will be sexually assaulted by the age of eighteen.*
- *Eighty to ninety percent of our prison population reports being victims of abuse.*

From *Talking About Touching*, Committee for Children, Seattle.

The determination of whether or not a child was abused and/or neglected will have already been made when you become involved with a child. While your attention will be focused on the child's current and future safety and well-being, it is important that you have some information about child abuse and neglect issues as background and context for understanding the child's specific family situation. Also, there might be ongoing abuse or neglect that you will need to report.

Each state provides its own definitions of child abuse and neglect. There are three places in state statutes where child abuse and neglect are defined:

- ✓ Child abuse reporting laws for the identification of cases that warrant reporting;
- ✓ Criminal codes for defining unlawful behavior; and
- ✓ Statutes for governing the juvenile court for determination of child dependency.

In order for states to receive a federal grant for funding under the Child Abuse Prevention and Treatment Act (CAPTA), they must utilize definitions of child abuse and neglect that include, at a minimum, certain specifications.

Under CAPTA, "child abuse and neglect" means, at a minimum: "Any recent act or failure to act on the part of a parent or caretaker, which results in death, serious physical or emotional harm, sexual abuse, or exploitation, or an act or failure to act which presents an imminent risk of serious harm."

“Sexual abuse” means, at a minimum: “The employment, use, persuasion, inducement, enticement, or coercion of any child to engage in, or to assist any other person to engage in, any sexually explicit conduct or simulation of such conduct for the purpose of producing a visual depiction of such conduct, or rape, and in cases of caretaker or inter-familial relationships, statutory rape, molestation, prostitution, or other form of sexual exploitation of children, or incest with children.”

From *Child Abuse and Neglect State Statutes Elements*, Department of Health and Human Services/National Clearinghouse on Child Abuse and Neglect Information.

Each state has laws that define abuse and neglect, as well as laws that guide child protective services agencies to know when and how to intervene in families. The second part of this unit outlines the process that CPS follows when a report of neglect or abuse is made.



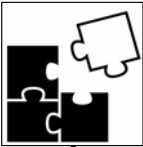
### Did You Know That...

*According to national statistics, more than half (fifty-two percent) of all reported child victims suffered neglect, while almost a quarter (twenty-four percent) suffered physical abuse. About twelve percent of the victims were sexually abused. Children suffering medical neglect and emotional maltreatment accounted for three and six percent of victims, respectively. A greater proportion of neglect and medical neglect victims were children younger than eight years old, while a greater proportion of physical, sexual, and emotional abuse victims were eight or older.*

From “Child Maltreatment 1996,” National Clearinghouse on Child Abuse and Neglect Information.

**Comment [v4]:** Get updated stats. Or just make a different statement

*(Note: Additional information about neglect, physical abuse, and sexual abuse appears in the Resource Materials section of this chapter.)*

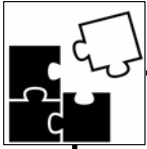


### Activity 2D: Definitions of Neglect & Physical, Sexual & Emotional Abuse

Review the following chart containing definitions of physical abuse, sexual abuse, emotional abuse, and neglect, and complete the column labeled “My Definitions” using a word or phrase that defines that category for you.

Child Neglect (an act of omission)... Child Abuse (an act of commission)...		DEFINITION	INDICATORS	MY DEFINITION
Physical Abuse	Intentionally harming a child, use of excessive force, reckless endangerment.	<ul style="list-style-type: none"> <li>• Unexplained bruises, welts &amp; scars</li> <li>• Various stages of healing</li> <li>• Bite marks</li> <li>• Unexplained burns</li> <li>• Fractures</li> <li>• Injuries not fitting explanation</li> <li>• Internal damage or head injury</li> </ul>		
Sexual Abuse	Engaging a child in any activity for that adult's own sexual gratification.	<ul style="list-style-type: none"> <li>• Age-inappropriate sexual knowledge</li> <li>• Sexual acting out</li> <li>• Child disclosure of abuse</li> <li>• Excessive masturbation</li> <li>• Physical injury to genital area</li> <li>• Pregnancy or STD at a young age</li> <li>• Torn, stained, or bloody underclothing</li> <li>• Depression, distress, or trauma</li> <li>• Extreme fear</li> </ul>		
Emotional Abuse	The systematic diminishment of a child. It is designed to reduce a child's self-concept to the point where the child feels unworthy of respect, unworthy of friendship, unworthy of love and protection, the natural birthright of all children.	<ul style="list-style-type: none"> <li>• Habit disorders (thumb sucking, biting, rocking, enuresis)</li> <li>• Conduct disorders (withdrawal or antisocial behavior)</li> <li>• Behavior extremes</li> <li>• Overly adaptive behavior</li> <li>• Lags in emotional or intellectual development</li> <li>• Low self-esteem</li> <li>• Depression, suicide attempts</li> </ul>		
Neglect	Failure of a person responsible for the child's welfare to provide necessary food, care, clothing, shelter, or medical attention. Can also be failure to act when such failure interferes with a child's health and safety.	<p><b>Physical Signs:</b></p> <ul style="list-style-type: none"> <li>• Malnourished</li> <li>• Not properly immunized</li> <li>• Lacks dental care</li> <li>• Lacks supervision</li> <li>• Consistently dirty</li> <li>• Constantly tired/listless</li> </ul> <p><b>Material Signs:</b></p> <ul style="list-style-type: none"> <li>• Insufficient/improper clothing</li> <li>• Filthy living conditions</li> <li>• Inadequate shelter</li> <li>• Insufficient food/poor nutrition</li> </ul> <p><b>Emotional Signs:</b></p> <ul style="list-style-type: none"> <li>• Rejection</li> </ul>		

# How Does a Case Enter the Child Protective Services System?



## Activity 2E: The Child Protective Services (CPS) System

Read the four child abuse report scenarios that follow and then answer the questions below.

**Scenario 1:** Why was this case screened out?

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**Scenario 2:** Why was this case closed?

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**Scenario 3:** Are the children in immediate danger?

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**Scenario 4:** Why was Alexa placed in foster care?

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Read the section entitled “CPS System for Abuse and Neglect Cases,” which summarizes the four stages cases go through to enter the child protective services system. Compare the answers you wrote above with the explanations found there.

The following four child abuse report scenarios illustrate the four stages cases go through to enter the child protective services system. Those stages are described following the scenarios.

### **Scenario 1**

Mrs. Delma Barnes lives next door to Sharon Frazier and her daughter Taysia, who is seven. Mrs. Barnes called the CPS hotline to report that she observed Taysia being spanked with a hand by her mom. When asked, Mrs. Barnes told the caseworker that it wasn't an "extra hard spanking," but that she just did not believe in spanking children at all. Mrs. Barnes said she saw Taysia afterward, and there were no bruises or marks from the spanking. Mrs. Barnes talked with Taysia, who told her she doesn't like being spanked. The case was screened out by the intake worker, so there was no investigation.

### **Scenario 2**

Joey, age three, attends daycare, where a staff member noticed a mark on his leg that looked suspicious. The daycare worker, being concerned, called the CPS hotline to report the bruise. After talking with the child and his parents, as well as several neighbors, the investigating caseworker found that the bruise occurred while Joey was playing. All accounts of the situation were the same and were found believable. There was no evidence to support that Joey was abused, neglected, or dependent; therefore, the case was not substantiated and was closed.

### **Scenario 3**

Susan Williams, first-grade teacher at Windel Elementary School, called the CPS hotline to report a concern about two of her students, Dot and Stan Grant, six-year-old twins. They live with their mother, Arlene, and her boyfriend, Tom, who has a history of drug use, including crack cocaine, marijuana, and alcohol. He has a criminal history of domestic violence as well as selling drugs. Arlene has used drugs in the past but says she only drinks now. Ms. Williams is concerned that the twins are in the middle of fights between Arlene and Tom, and that he is selling drugs in the home. There were bruises on Dot's face, which she said happened when Tom accidentally hit her when he was trying to hit her mom.

A caseworker talked with the children separately at school and both children said that their mom and her boyfriend drink beer and smoke "little white cigarettes that they put green stuff in." They also reported that the cigarettes "smelled funny." Both children told the caseworker that their mom and Tom fight and that he hits their mom. Dot said that her mom sometimes comes and sleeps with her and Stan in their room. Both children have observed these fights and, from their descriptions, the fights occur quite often, especially when Arlene and Tom are "partying." Both Dot and Stan said they were afraid of Tom. When asked about Dot being hit by Tom, Stan said, "He didn't mean to."

When interviewed by the caseworker, Arlene admitted that Tom drinks beer but doesn't do drugs anymore. She denied that she drinks or does drugs herself. She told the caseworker that sometimes they fight, "but who doesn't?" She said that Tom doesn't hurt her and has never hit her. She was surprised that the caseworker could have gotten information that was so wrong. She didn't want the caseworker to talk with Tom. When the caseworker explained that interviewing Tom was necessary, Arlene had a nervous expression on her face.

Tom was visibly displeased when the caseworker arrived to talk with him. He told her that it was none of her business what he did in his home. He said he was good to Arlene's children and buys them what they need. Even though he and Arlene do fight sometimes, he said he would never hit her. Tom denied the use of drugs but told the caseworker that he would drink a beer whenever he wanted.

Further interviews were conducted with the teacher, the maternal grandmother, a neighbor, and a friend of the mother. All but the friend were concerned about these children and told the caseworker that the twins are often in the middle of fights and there is “partying” going on at the home all the time.

Due to the children’s disclosures, observations from interviews with their mom and her boyfriend, and information from the collateral contacts, neglect was substantiated. The case will go to Family Support for treatment. Court intervention will not be sought at this time.

First three situations drafted by Angie Pittman, Family Permanency Supervisor, DSS, Buncombe County, NC.

## Scenario 4

Dr. Valerie Alajuwon, physician at Windel Regional Medical Center, called the CPS hotline and stated she had examined and admitted Alexa James, age fifteen months, who was brought in by her mother, Sheila Washington, and her live-in boyfriend, Lewis Murphy. Alexa could not bear weight on her right leg. X-ray results showed a fracture of her right tibia (lower leg) and a one- to two-week-old fracture of her right femur (upper leg).

When interviewed by the caseworker, neither Ms. Washington nor Mr. Murphy could explain Alexa’s injuries. They claimed to be the child’s only caretakers. The caseworker requested that Dr. Alajuwon do a complete physical examination of Alexa, including a series of x-rays. The x-rays revealed a healing rib fracture in addition to the two leg fractures. Since the three fractures were in various stages of healing, Dr. Alajuwon diagnosed Alexa as a victim of battered child syndrome.

At the time of Alexa’s discharge from the hospital, there was no new information as to the cause of her injuries. The various ages, type, severity, and location of the injuries without explanations about their occurrence indicated the injuries were nonaccidental. There were no known relatives and the mother refused to make a voluntary placement. Therefore, to ensure the child’s care, supervision, and protection, a petition was filed and Alexa was placed in foster care. When the petition was filed, Penny Ferguson, a CASA/GAL volunteer, and Webster Lance, Attorney for the Child, were assigned to Alexa’s case.

From the North Carolina Guardian ad Litem volunteer training curriculum.

## CPS System for Abuse & Neglect Cases

### STAGE 1: Reporting Suspected Abuse or Neglect

- Someone in the community reports to Child Protective Services (CPS) or, in some areas, to law enforcement that they suspect a child is being abused or neglected.

*(In our four scenarios, the people who made the call to CPS were a neighbor, a daycare staff member, a teacher, and a doctor.)*

### STAGE 2: Screening Reports of Suspected Abuse or Neglect

- CPS or, in some areas, law enforcement investigates and intervenes in all circumstances where the allegations, if they proved to be true, would fit the legal definition of abuse, neglect, or dependency. An investigator will respond within a specific time frame determined by the nature of the allegations.

- In circumstances where the allegations would not fit the legal definition of abuse, neglect, or dependency, the reporter is notified that there will be no investigation. The reporter may be referred to outreach services or other agencies as appropriate.

*(In Scenario 1, there was no intervention because spanking a seven-year-old does not meet the legal definition of abuse, neglect, or dependency.)*

### **STAGE 3: Investigating Reports of Suspected Abuse or Neglect**

- CPS or, in some areas, law enforcement investigates the report to determine the facts, the extent of the abuse or neglect, and the risk of harm to the child.
- If the investigation does not confirm abuse or neglect, the case is closed.

*(In Scenario 2, the case was closed because Joey's injury was accidental and there was no evidence of abuse, neglect, or dependency.)*

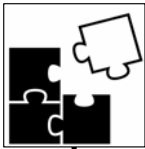
### **STAGE 4: Interviewing in Confirmed Cases of Abuse or Neglect**

- If the investigation confirms abuse or neglect, CPS then determines whether protective services should be provided or if a petition needs to be filed. Petitions are filed when CPS needs the court to intervene on the child's behalf to minimize the risk that child maltreatment will recur, or when the child is removed from the home to ensure his/her safety.

*(In Scenario 3, neglect was confirmed, but Child Protective Services felt they could work with the family without court intervention. In Scenario 4, CPS filed a petition requesting that the court intervene to ensure Alexa's care, supervision, and protection.)*

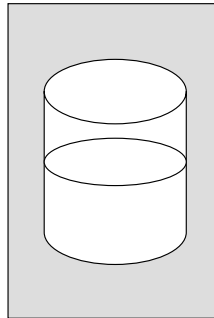
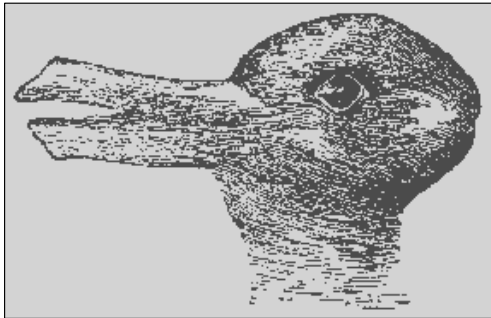


## UNIT 4: Who Are the Participants in a Case?



### Activity 2F: Perspective—What Do You See?

Look at the pictures below. What do you see in each picture? Each of the first two pictures can be seen as two distinct images depending on your perspective. Can you see both? The third picture is a cup of water. Is the cup half-full or half-empty?



"Ambiguous Figures" reprinted with permission from SandlotScience ([www.SandlotScience.com](http://www.SandlotScience.com)).

### The Parties & Participants in the Case

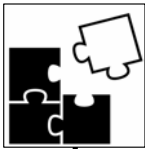
**In child abuse and neglect court cases, there are at least the three following parties:**

1. The child;
2. The parents/caretakers named in the petition; and
3. The petitioner (child protective services agency).

When working with an Indian child, the tribe may be a party to the case. In some court jurisdictions, the state and/or the CASA/GAL volunteer is named as a party. In legal terms, a party to a case is a person or group taking one side of a legal question, dispute, or contest. That person or group has standing in the court action, allowing them to participate fully, conduct discovery, and receive notice of all proceedings connected with the case. Other participants in the court case are the CASA/GAL volunteer, attorneys, and the judge.

The parties have a legal right to be heard by the judge in the court hearing. The parties also have a legal right to be represented by an attorney. If there is more than one parent or caretaker named in the petition, each one may be represented by a different attorney. If the parents/caretakers cannot afford to hire an attorney, the state provides them with one. In some states, the CASA/GAL volunteer may be appointed to represent the child. In others, the CASA/GAL volunteer advocates for the child's best interest but is not an actual party to the case. The Adoption and Safe Families Act of 1997 (ASFA) provides that foster parents, preadoptive parents, or relatives who are caring for the child be given notice of and the opportunity to be heard at all review hearings. This notice requirement does not mean that these individuals are parties in the case.

Each participant in the case has a different role and perspective. The judge hears the distinct perspectives of the parties as their attorneys present evidence, arguments, testimony from witnesses, and recommendations for the judge to consider as he/she makes decisions about the child's case.



## Activity 2G: The Participants in a Case

**Part 1:** Read the following information about the roles of each of the participants in a court case. As you read, think about who in the Parker-Solano case corresponds to each role. Answer the following questions as they relate to the Parker-Solano case:

1. Who are the children in the case? \_\_\_\_\_
2. Who is the CASA/GAL volunteer? \_\_\_\_\_
3. Who are the parents? \_\_\_\_\_

## The Child

- ✓ **Why is the child's case in court?**
  - A petition has been filed alleging abuse or neglect.
- ✓ **What does the child need during court intervention?**
  - The child needs the court to order an appropriate intervention and treatment plan so he/she can live in a safe, stable home without ongoing need for Child Protective Services (CPS) intervention;
  - The areas the child needs addressed include safety/protection, placement if the child is out of the home, family contact, belonging to a family, financial support, a support system, education, mental health, and physical health;
  - The child needs the court intervention to be focused and timely; and
  - The child needs services provided that will meet his/her needs.

## CASA/GAL Volunteer

✓ **What is the role of the CASA/GAL volunteer in the case? The role is to...**

- Independently investigate the child's case;
- Determine the child's needs;
- Explore family and community resources to meet the child's needs;
- Make recommendations to the court;
- Advocate for the child;
- Monitor the case;
- Be the voice of what is in the child's best interest; and
- Be the voice of the child's expressed wishes.

✓ **What does the CASA/GAL volunteer bring to the case? He/she brings...**

- An interest in improving the life of the child through the court process;
- Time, energy, and focus;
- Longevity—he/she often stays on the case from beginning to end;
- An “outside the system” point of view and an independent perspective; and
- The community's standard for the care and protection of its children.

✓ **When is the CASA/GAL volunteer involved in the case?**

- The CASA/GAL volunteer is involved from the time of his/her assignment to a case through the close of the child's case, when the permanent plan has been approved by the court and achieved for the child.

*(Note: In some jurisdictions, the CASA/GAL volunteer is only assigned through the court hearing granting the termination of parental rights.)*

## CASA/GAL Program Attorney or Attorney for the Child

✓ **What is the role of the CASA/GAL program attorney or the attorney for the child in the case? The role is to...**

- Represent the child's best interest and/or wishes, and protect the child's legal rights in court;
- Translate the CASA/GAL volunteer's research and recommendations (in their court reports) into a form that the court can effectively use to address the child's needs (within the law, within the scope of the volunteer role, fact-based, etc.);
- Provide legal consultation to the CASA/GAL volunteer and program staff regarding the case (if they represent the program rather than the child directly); and
- File legal documents relevant to the child's case.

✓ **What does the CASA/GAL program attorney or the attorney for the child bring to the case?**

- These attorneys bring legal expertise, facilitation and negotiation skills, and courtroom experience.

✓ **When is the CASA/GAL program attorney or the attorney for the child involved in the case?**

- He/she is involved from the petition filing through the end of the court case.

*(Note: The attorney role varies significantly between court jurisdictions. If an attorney is appointed, he/she is sometimes appointed to represent the CASA/GAL volunteer and sometimes to represent the child. In some jurisdictions, two attorneys are appointed, one to represent the child's best interest and one to represent the child's expressed wishes. The facilitator will clarify the role in your local court system.)*

## **Parents/Caretakers Named in the Petition**

✓ **Why are the parents/caretakers involved in the case?**

- They have been forced into this court action because CPS asked the court to intervene to protect the child from maltreatment and/or to have his/her basic needs met;
- They need to comply with the CPS intervention plan and correct the conditions that led to the child's removal, thereby effectively protecting their child and/or enabling their child to return home; and
- They need to follow the orders of the court or risk having their parental rights terminated.

✓ **What do the parents/caretakers bring to the case?**

- The parents bring their love of the child, family ties, history of parenting, abilities and skills as parents, interactions with the child, interactions with each other, mental and emotional health, physical health, support system, housing, income, and their own issues/problems.

## **Attorney for the Parent/Caretaker**

✓ **What is the role of the attorney for the parent/caretaker in the case? The role is to...**

- Represent the wishes of the parent/caretaker he/she represents;
- Protect the legal rights of the parent/caretaker in court;
- Advise the parent/caretaker on legal matters; and
- File legal documents relevant to the case.

✓ **What does the attorney for the parent/caretaker bring to the case?**

- He/she brings legal expertise, facilitation and negotiation skills, and courtroom experience.

- ✓ **When is the attorney for the parent/caretaker involved in the case?**
  - He/she is involved from the petition filing through the end of the court case.

## **Child Protective Services Caseworker**

- ✓ **What is the role of the Child Protective Services caseworker in the case?**
  - The CPS caseworker has completed a risk assessment process and, based on risk and/or substantiated allegations of abuse and/or neglect, has determined the need for court intervention. The CPS caseworker petitioned the court to intervene on the child's behalf because:
    - He/she has developed an intervention plan with the family, which has not resulted in eliminating the risk that child maltreatment will recur; or
    - Due to risk of imminent danger, he/she he has removed the child from his/her home to ensure the child's safety.
  - The CPS caseworker needs the court to order that the agency's intervention and treatment plan be followed by the parents/caretakers and other service providers so that the need for continuous CPS intervention is not required to ensure the child receives proper care and protection; and
  - The caseworker is responsible for managing the case and arranging for court-ordered services to be provided to the child and the child's family.
- ✓ **What does the CPS caseworker bring to the case? The caseworker brings...**
  - Training in analyzing risk, assessing service needs, and providing guidance to families;
  - Direct services for families to provide them with the knowledge, skills, and resources necessary for change; and
  - Links to other service providers so that the family can access resources outside the CPS system.
- ✓ **When is the CPS caseworker involved in the case?**
  - The caseworker is involved from the initial contact with the family and/or child until CPS services are no longer needed.

## **Attorney for Child Protective Services**

- ✓ **What is the role of the attorney for Child Protective Services in the case? The CPS or county attorney's role is to...**
  - Represent the position of the agency in court;
  - Protect the agency from liability;
  - Advise the agency regarding its responsibilities as outlined in the law; and
  - File legal documents relevant to the case.

- ✓ **What does the attorney for Child Protective Services bring to the case?**
  - He/she brings legal expertise, facilitation and negotiation skills, and courtroom experience.
- ✓ **When is the attorney for Child Protective Services involved in the case?**
  - He/she is involved from the petition filing through the end of the case.

## Indian Child's Tribe

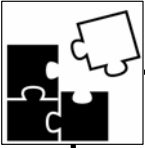
- ✓ **What is the role of the Indian child's tribe in the case? The role is to...**
  - Represent to the courts the "best interest of the child" as defined by the Indian Child Welfare Act (ICWA);
  - Ensure that the parents, the child, and the tribe have all the rights that are afforded pursuant to ICWA;
  - Bring to the attention of the court culturally relevant service options and dispositional recommendations;
  - Protect the tribe's interest in the child and ensure the preservation of this valued resource;
  - Where appropriate, offer or require that the tribe take jurisdiction of the matter; and
  - File legal documents when it is necessary.
- ✓ **What does the tribe bring to the case?**
  - The tribe brings its very special perspective on preservation of the child's ties to the tribe. In addition, the tribe has the knowledge of relevant cultural practices and culturally relevant services that can be considered as potential resources for the child.

## Judge

- ✓ **What is the role of the judge in the case? The role is to...**
  - Determine if there is a continued safety issue for the child that necessitates continued out-of-home placement if the child has been removed from home;
  - Decide if the child is abused or neglected, and if so, order services that will address the needs of the child;
  - Order appropriate reviews;
  - Hear testimony, motions, etc., regarding the case;
  - Approve the permanent plan for the child;
  - Order termination of parental rights when appropriate;
  - Settle disputed adoption cases; and
  - Close the court case when there is no longer a need for court intervention or the permanent plan has been achieved.

✓ **When is the judge involved in the case?**

- The judge is involved from the request for emergency custody at the petition filing until the court case is closed (or, if child is not removed from home, from the arraignment or adjudication hearing, depending on jurisdiction, until the court case is closed).



## **Activity 2G: The Participants in a Case**

**Part 2:** Answer the following questions as you consider the role of the CASA/GAL volunteer in the Parker-Solano case:

**Why is it important for Ben to have a CASA/GAL volunteer?**

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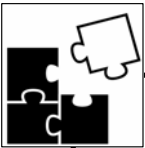
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**Do the same reasons apply to Damien? Why or why not?**

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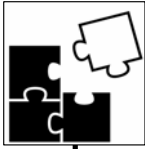
## **Activity 2H: The CASA/GAL Volunteer Perspective**

Write the one word that you think best describes the perspective of the CASA/GAL volunteer:

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## UNIT 5: Confidentiality



### Activity 2I: Confidentiality & the CASA/GAL Volunteer

Read the following material about what confidentiality means for the CASA/GAL volunteer. It is important that you are very clear about what information is, and what is not, confidential—and with whom you can share what pieces of information. As you read, note in the margin any questions you have.

### Confidentiality & the CASA/GAL Volunteer

When you perform the duties assigned to a CASA/GAL volunteer, you will be responsible for understanding just what is meant by confidentiality. As a CASA/GAL volunteer, you have access to confidential information about children and the people involved in those children's lives. The CASA/GAL volunteer may not release this information except to the child, CASA/GAL program staff, the attorney(s) on the case, the caseworker, the court, and others as instructed by law or local court rule. There are strict guidelines about who can have access to confidential information. By law, CASA/GAL volunteers must keep all information regarding the case confidential and make no disclosure, except by court order or unless provided by law. Mistakes in handling confidential information can be detrimental to the children involved and can bring criminal action against the people who misuse the information. *When in doubt, discuss any confidentiality concerns with your supervisor!*

#### What Information Should the Volunteer Share with the Child?

It is expected that the volunteer develop a meaningful relationship with the child in order to make sound, thorough, and objective recommendations in the child's best interest. The volunteer also ensures that the child is appropriately informed about relevant case issues, considering both the child's age and developmental level. The child is informed in an age-appropriate manner of impending court hearings, the issues to be presented, the recommendations of the volunteer, and the resolution of those issues. If there is any question about what information should be shared with the child, ask your supervisor.

#### What Is Confidential?

There are different definitions of "confidential" in the laws of different states—some quite clear and others vague. As a CASA/GAL volunteer, you must regard as confidential any information that the source deems confidential. If any source from which you obtain information requires you to show the court order of appointment or inquires about why you are entitled to get such information, you should respectfully produce your court order and photo identification. Your appointment order gives you the authority to obtain a great deal of information that is, in fact,

confidential. Child Protective Services records are confidential and are not available for public inspection. ***It is especially important that the name of any person who has made a report of suspected child abuse and neglect not be revealed.*** School records are also confidential. There are legal privileges that protect attorney/client, doctor/patient, priest/parishioner, psychologist/patient, and caseworker/client communications. Such communication, whether verbal or written, is all confidential and must remain so unless a court order specifically states otherwise. You are not allowed to share information with anyone other than the child, CASA/GAL program staff and attorney(s), the caseworker, and the court unless a local or state order allows for a broader sharing of information.

You need not treat as legally confidential conversations with neighbors and friends who voluntarily give information. Also, if you speak with a teacher who is not providing confidential school records, but rather sharing impressions, these impressions would not be confidential unless the teacher requested that they be kept as such. This information, although not legally confidential, is still private and should not be shared except on a “need to know” basis, and then only with those people who need the information to better serve the child. An example would be sharing a previous teacher’s positive impressions of the child with a new teacher in order to increase the teacher’s sensitivity toward the child during a difficult time.

### **Should You Tell a Source That You Intend to Share Their Information?**

There does not appear to be any legal requirement that you disclose to a source your intent to share information. It is important to be respectful of the source and to be honest about your intentions with regard to the use of the information. You can never promise that you will not share the information received.

## Should I Share Information with Someone Else About This Child or This Case?

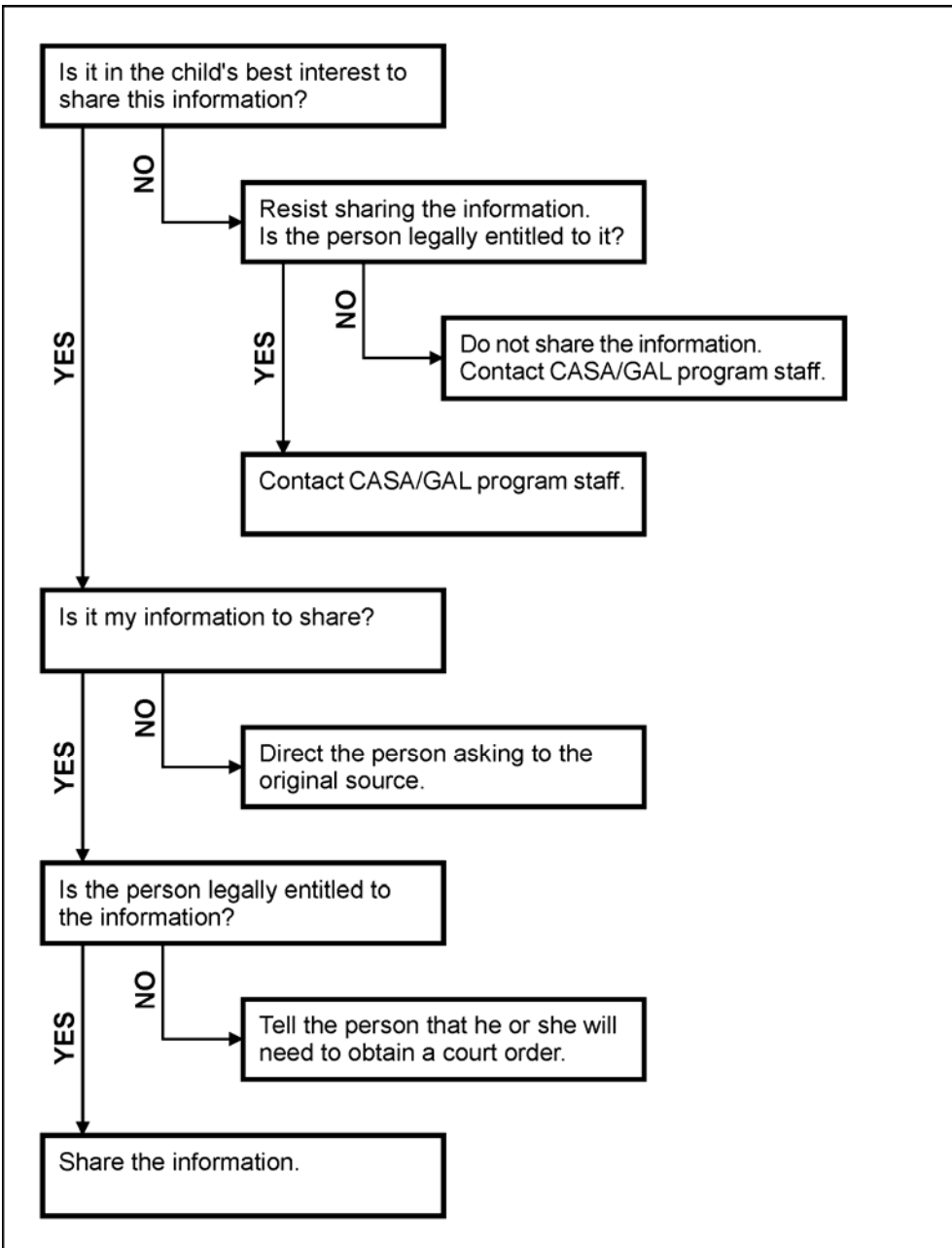
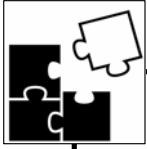


Chart contributed by Diane Robinson, State Director, Arkansas CASA.



# UNIT 6: The Juvenile Court Process



## Activity 2J: Perceptions of Court

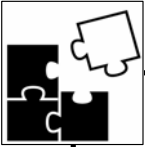
Drawing upon a personal experience of going to court (or an experience of a family member, friend, neighbor, or acquaintance), fill in the following answers:

**Describe the situation.**

**What were your impressions of the courtroom players?**

**How does your personal experience differ from what you have observed on television or in the movies?**

Created by John Lewis, District Administrator for District 24, North Carolina GAL Program.



## Activity 2K: The Court Process

**Part 1:** Read the Juvenile Court Hearings chart that follows, which describes the juvenile court process. Write one question about each hearing type in the box below.

TYPE OF HEARING	QUESTION
Temporary/Emergency Custody Hearing	
Subsequent Temporary/Emergency Custody Hearings	
Adjudication	
Disposition	
Review Hearing	
Permanency Hearing	
Termination of Parental Rights (TPR)	
Post-TPR Placement Review	

## Juvenile Court Hearings

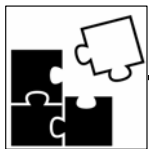
For a case to enter the juvenile court system, the first step is for the child protective services agency to file a petition alleging that the child has been abused or neglected. The child may be removed from the home under an emergency custody order or a petition may be filed without taking the child into custody. The filing of the petition can trigger the appointment of a CASA/GAL volunteer to serve as the child's advocate during the court case.

Following is a table outlining a sample of the types of hearings that occur once a petition is filed and the possible time lines for the hearings.

TYPE OF HEARING	DESCRIPTION
<p><b>Temporary/Emergency Custody Hearing</b></p>	<p>In this hearing, the judge decides whether or not the child should remain in custody. Additionally, the judge inquires about missing parents, possible relative placements, the status of other children in the home, and the child's needs pending adjudication.</p>
<p><b>Subsequent Temporary/Emergency Custody Hearings</b></p>	<p>Until the time of the adjudication, each emergency custody hearing will review the need for continued custody, relative placement and other placement options, and the child's needs pending adjudication.</p>
<p><b>Adjudication</b></p> <p><i>Usually occurs within sixty days of the petition unless the judge orders otherwise but only pursuant to exceptions set forth in state law.</i></p>	<p>At this hearing, the judge is presented with the facts and circumstances surrounding the child's removal from the home. The judge may find that the facts outlined in the petition do not amount to abuse or neglect. If so, the judge dismisses the petition. If the judge finds that the facts in the petition do allege abuse or neglect, then the judge has to determine whether there is sufficient evidence that the allegations outlined in the petition are true. If the judge finds them to be true, then the child is deemed adjudicated. Otherwise, the petition is dismissed and the child is returned to the parents.</p>
<p><b>Disposition</b></p> <p><i>Often takes place immediately following the adjudication but can be set at a later date to allow for the gathering of additional information.</i></p>	<p>At disposition, the judge determines what should happen to the child—depending on the child's best interest—now that abuse or neglect has been adjudicated. Disposition addresses such matters as placement, needed services, and permanency planning. The CASA/GAL volunteer presents a report at this proceeding and may be called to testify.</p>
<p><b>Review Hearing</b></p> <p><i>Held within ninety days of disposition and at least every six months thereafter.</i></p>	<p>At each review hearing, the judge considers the progress of the parents and the needs of the child. Additionally, the judge reviews the need for continued custody and what efforts are being made to find a permanent plan for the child. Each review hearing requires a CASA/GAL volunteer court report giving the judge current information about what the child wants and what is in the best interest of the child. The CASA/GAL volunteer may also be called to testify.</p>

		TYPE OF HEARING	DESCRIPTION
		<b>Juvenile Court Hearings...</b>	<b>Permanency Hearing</b> <i>Held within twelve months of the initial removal from the home and at least every twelve months thereafter. (Can take the place of a review hearing.)</i>
<b>Termination of Parental Rights (TPR)</b> <i>If a judge ceases reunification efforts, the TPR petition must be filed by CPS within sixty days. Otherwise, it is to be filed by CPS if a child is in care fifteen months of the past twenty-two months (unless the court finds a compelling reason for no TPR, such as that the permanency plan is for guardianship or custody with a relative or other suitable person, that TPR is not in the child's best interest, or that CPS has not provided adequate services to the family).</i>	At a TPR hearing, the judge decides whether or not the grounds alleged in the TPR petition have been proven <i>and</i> whether TPR is in the best interest of the child. The CASA/GAL volunteer may prepare a report for the court and may be called to testify about whether TPR is or is not in the child's best interest. If the parent's rights are terminated, then he/she is no longer a party to the abuse/neglect proceeding.		
<b>Post-TPR Placement Review</b> <i>Held within six months of the TPR and every six months until permanency is achieved.</i>	At post-TPR reviews, the judge reviews the permanent plan for the child and services that the child needs. In particular, the judge looks at efforts made by CPS to find a permanent placement if one has not already been located.		

(Note: Detailed charts regarding the court process, the roles of CPS and the CASA/GAL volunteer in that process, and the decisions made at each court proceeding are contained in the Resource Materials section of this chapter.)



### Activity 2K: The Court Process

**Part 2:** Review the Juvenile Court Proceedings chart that follows and note any questions below.

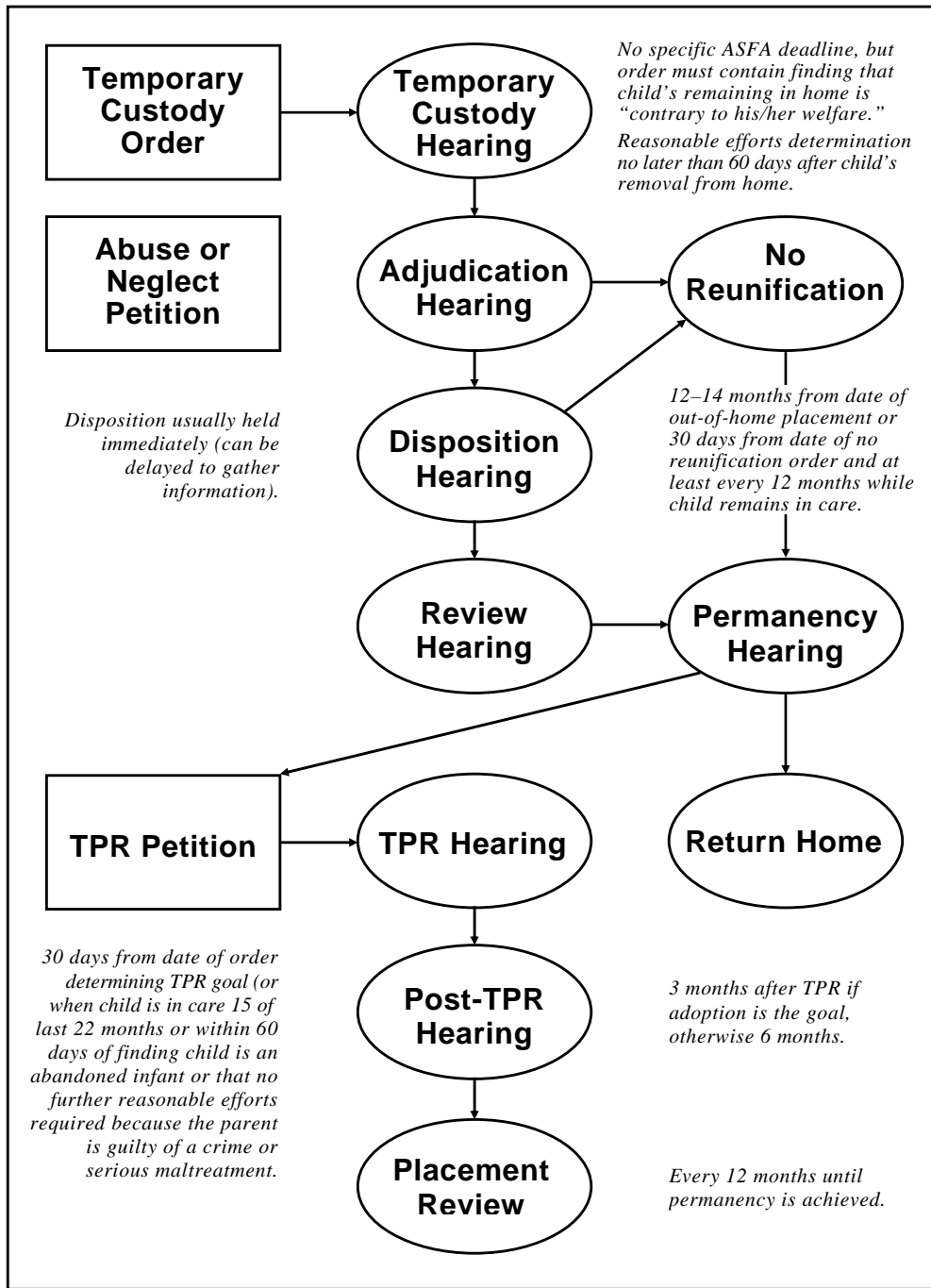
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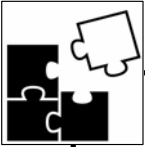
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**Comment [v5]:** More space for questions

# Juvenile Court Proceedings Chart



Adapted from a chart created by Connie Hickman Tanner, Director of Juvenile Courts, State of Arkansas.



## Activity 2K: The Court Process

**Part 3:** Review the Court Observation Critique, which follows. You will complete this form during your scheduled court observation. In the space below, write one additional question that you hope to answer when you observe a court hearing.

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*(Note: If you do not yet have a court observation plan, be sure to check with CASA/GAL program staff in order to arrange to observe court proceedings as part of your training.)*



# REPORTING IN

Court Observation Critique...	<b>OBSERVER NAME:</b>		<b>DATE:</b>	
	<b>CASA/GAL VOLUNTEER OBSERVED:</b>		<b>CASE:</b> <i>(initials)</i>	
	<b>JUDGE:</b>			
	<b>PROCEEDING:</b> <i>(check one)</i>	<b>CASE STATUS:</b> <i>(check one)</i>	<b>PARTIES PRESENT:</b> <i>(check all that apply)</i>	
	<input type="checkbox"/> Nonsecure Custody <input type="checkbox"/> Adjudication <input type="checkbox"/> Disposition <input type="checkbox"/> Review <input type="checkbox"/> Permanency Hearing <input type="checkbox"/> Termination of Parental Rights	<input type="checkbox"/> Pre-adjudication <input type="checkbox"/> Pre-disposition <input type="checkbox"/> Post-disposition	<input type="checkbox"/> CPS Attorney <input type="checkbox"/> CPS Social Worker <input type="checkbox"/> CASA/GAL Volunteer <input type="checkbox"/> Attorney Advocate <input type="checkbox"/> Mother <input type="checkbox"/> Father <input type="checkbox"/> Attorney for Mother <input type="checkbox"/> Attorney for Father <input type="checkbox"/> Tribal Representative <input type="checkbox"/> Other _____	
	Briefly describe what occurred:			
Name three things the CASA/GAL volunteer did as an advocate for the child(ren):				
1. _____				
2. _____				
3. _____				

**Court Observation Critique...**

Describe your reactions to the parent(s):

Describe your reactions to the attorney(s):

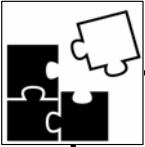
What action would you take next if you were the CASA/GAL volunteer?

Did you have a chance to discuss the case with the CASA/GAL volunteer? If so, what did you learn? If not, what would you like to ask him/her?

Questions/Concerns/Comments:

**Submit a completed copy of this form to CASA/GAL program staff.**

Adapted from Alaska CASA Training Curriculum.



## **Activity 2L: The ASFA Time Line in the Parker-Solano Training Case**

Review the time line that follows for the Parker-Solano training case. Using the information on juvenile court hearings and proceedings that you just reviewed, answer the following questions:

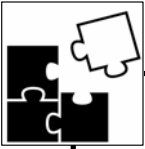
**It is January 10, 2001, and the permanency hearing for Ben has just been completed. What is the latest the next permanency hearing can be set if there is no TPR petition filed?**

**Was the adjudication hearing for Ben held in a timely fashion?**

**Why was there no review hearing for Damien on October 5, 2000?**

**For which hearing would the CASA/GAL volunteer have prepared the first written report?**

Time Line for the Parker-Solano Training Case		
DATE	PLACEMENTS	HEARINGS
01/07/00	Ben taken into care and placed with aunt	
01/10/00		Emergency Custody—Ben
02/01/00	Ben to hospital	
02/04/00	Damien taken into care and placed with foster family	
02/09/00		Emergency Custody—Damien
02/22/00	Ben to group home	
03/02/00	Ben to hospital	
03/08/00	Damien to father's home	Adjudication/Disposition—both
06/08/00	Ben to independent-living center	
06/19/00		Review Hearing—both (Damien's case closed)
10/05/00		Review Hearing—Ben
01/10/01		Permanency Planning Hearing—Ben
NOT SET		TPR Hearing (if necessary)—Ben



### Activity 2M: ASFA Principles

Three major principles of the Adoption and Safe Families Act are...

- ✓ The safety of children is the paramount concern.
- ✓ Foster care is a temporary setting and not a place for children to grow up.
- ✓ Permanency planning should begin as soon as the child enters foster care.

Select the principle that you think is most important for the work you will do as a CASA/GAL volunteer and write below why you feel it is the most important one.

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## LOOKING AHEAD

### Cultural Awareness...

#### **Please complete the following assignment.**

Prior to beginning work on the next chapter, read three of the cultural awareness articles found in the Resource Materials section of Chapter 3. As you read, note any “tips” or ideas for working with people from different cultures. These articles do not necessarily represent the viewpoint of the National CASA Association or your local CASA/GAL program. No single article about a cultural group can adequately describe one person or one family. Rather, the articles provide a thought-provoking introduction to the many cultures and perspectives represented in our communities.





## RESOURCE MATERIALS

### Included in this section:

<b>Federal Laws Governing Child Abuse &amp; Neglect Cases</b>	<b>2-49</b>
<b>CHILD NEGLECT</b>	
<i>American Medical Association Information</i>	<b>2-61</b>
<b>CHILD PHYSICAL ABUSE</b>	
<i>American Medical Association Information</i>	<b>2-63</b>
<b>CHILD SEXUAL ABUSE</b>	
<i>American Medical Association Information</i>	<b>2-65</b>
<b>Responsibilities of the CASA/GAL Volunteer, the CASA/GAL Program Staff &amp; the Attorney Appointed for the Child or CASA/GAL Volunteer</b>	<b>2-67</b>
<b>ICWA Resource Materials</b>	<b>2-73</b>
The Indian Child Welfare Act: The Need for a Separate Law	<b>2-75</b>



# Federal Laws Governing Child Abuse & Neglect Cases

Though most of the law governing child protection, foster care, adoption, and juvenile court proceedings originates with state legislatures, state law is influenced significantly by several federal statutes enacted since 1974. Under these federal laws, states receive billions of dollars each year for the support of their child protective services system, foster care, and adoption services. They are required to comply with the provisions set out in the Child Abuse Prevention and Treatment Act of 1974 (CAPTA), the Adoption Assistance and Child Welfare Act of 1980 (AACWA), and the Adoption and Safe Families Act of 1997 (ASFA) as a condition of receiving these federal funds. Under AACWA, states receive federal funds to offset the costs of providing a wide range of child welfare services to families and children. These funds may be used for, among other things, family support, preservation, and reunification services. States also are reimbursed for a substantial portion of the money they pay to foster parents and other care providers for the “maintenance” (primarily room and board) of a child in foster care. Federal funds pay a portion of the staff training costs, administrative costs, adoption assistance payments to parents of special needs children, and the information systems developed by state agencies for their child welfare systems. The following federal laws will be examined in greater depth:

- ✓ The Child Abuse Prevention and Treatment Act of 1974 (amended in 1996);
- ✓ The Indian Child Welfare Act of 1978;
- ✓ The Adoption Assistance and Child Welfare Act of 1980;
- ✓ The Multi-Ethnic Placement Act of 1994;
- ✓ The Adoption and Safe Families Act of 1997;
- ✓ The Foster Care Independence Act of 1999; and
- ✓ The Volunteer Protection Act of 1997.

## The Child Abuse Prevention & Treatment Act of 1974 (PL 93-247), Amended In 1996 (PL 104-235)

### Background

From a historical perspective, we are still relatively new to the concepts of protecting abused and neglected children and developing appropriate systems, methods, and programs to cope with the problems of these children and their families. Although every state had enacted a child abuse reporting law by 1965, the child welfare system was not adequately protecting children and their families. During the 1970s, the United States Congress became aware of this problem and enacted the Child Abuse Prevention and Treatment Act of 1974 (CAPTA). This legislation earmarked federal funds for states to establish special programs for child victims of abuse or neglect. It also mandated the appointment of guardians ad litem to represent children. Since its enactment in 1974, CAPTA has been amended several times.

## Summary

The federal Child Abuse Prevention and Treatment Act, along with its implementing regulations, requires states that receive federal funds for their state child protective services programs to adhere to the following requirements:

1. The state must have a statute mandating the reporting of child abuse and neglect.
2. Upon receipt of a report of suspected abuse/neglect, the state (a) must determine if the report meets the definition of child abuse/neglect under state law, (b) conduct an assessment of the safety of all children under the care of the suspected abuser, (c) begin a prompt investigation of the report, and (d) take steps to ensure the safety of all children under the care of the suspected abuser, including removal of them to a safe environment.
3. The state must have specific procedures or programs for responding to reports of medical neglect, including instances of withholding medically indicated treatment from disabled infants with life-threatening conditions.
4. The state must define “child abuse” and “neglect” in accordance with federal statutes and regulations.
5. The state must submit a state program plan to the federal government every five years to remain eligible for federal funding.
6. The state must provide a guardian ad litem to every abused or neglected child whose case results in a judicial proceeding. The guardian ad litem may be an attorney or CASA (or both) whose responsibilities include completing an independent investigation of the child’s situation and needs, determining what actions are in the best interest of the child, and making recommendations to the court.
7. The state must maintain the confidentiality of child protective services records but make them available to persons who are the subject of the report, government agencies overseeing the state’s child protective services program, child abuse citizen review and fatality review panels, a grand jury or court, and other agencies or persons authorized by state law. The state may refuse to disclose the identity of the person who made the report of suspected abuse unless a court has found that the reporter knowingly made a false report.
8. State law must provide immunity from prosecution for persons who make good faith reports of suspected abuse/neglect.
9. Records of false or unsubstantiated reports of suspected abuse must be deleted from any database accessible to the public or used for employment or background checks. However, a child protective services agency may keep this information in its files for use in risk and safety assessments.
10. State law must not require reunification of a surviving child with a parent who is convicted of murder of one of his/her children or an assault resulting in serious bodily injury to a child. In addition, state law must provide that conviction of one of these crimes against children is sufficient grounds for terminating parental rights.

11. State law must establish at least three citizen review panels whose role is to determine if state and local agencies are carrying out their responsibilities for child protection under state law and professional standards.
12. State law must provide a procedure whereby persons with an official finding of substantiated or founded abuse can appeal that finding.
13. State law must require the disclosure to the general public of information about individual cases of child abuse or neglect that resulted in a child's death or near death.

Synopsis prepared in October 1995 by Jill Moore, UNC law student.  
Updated in May 2000 by William L. Grimm, Staff Attorney, National Center for Youth Law.

## The Indian Child Welfare Act of 1978 (PL 95-608)

### Background

The Indian Child Welfare Act (ICWA) was a response to Congressional findings that there was a need for a federal law to prevent state courts and social workers, as well as private agencies, from further destruction of the American Indian family caused by unwarranted removal of Indian children from their tribes and families. ICWA acknowledges the loss of Indian culture resulting from historical government policies, such as separating Indian children completely from their tribe, placing them in boarding schools, and forbidding them to speak their native language. In an effort to “civilize” and assimilate Indians into the mainstream, a decision was reached in the early 1800s to start with the children. Bureau of Indian Affairs (BIA) agents and social workers were given cash incentives based on the head count of children taken away from their tribes and placed in non-Indian institutions and adoptive homes—usually far from home. The Indian Civilization Act was passed in 1810 to facilitate the removal of children in an attempt to assimilate them into Anglo-America. Subsequently, non-Indian caseworkers, courts, and agencies continued to see the Indian family structure as alien, foreign, and undesirable, so the process of adoptions by non-Indians occurred in wholesale numbers. The sense of loss and devastation not only tore away the child's heritage and foundation, it nearly destroyed the Indian family unit and the tribal government structure.

The Indian Child Welfare Act was established to strengthen the participation by Indian tribes when placement of Indian children is being considered. It establishes requirements for child-placing agencies to follow when placing Indian children.

### Summary

Children who are members of an Indian tribe, or who are the biological children of a member of an Indian tribe and are eligible for membership in the tribe themselves, may only be placed in foster care or for adoption according to the requirements of the Indian Child Welfare Act. The child's tribe is the final determinate of who is a member of the Indian community entitled to ICWA coverage. When ICWA coverage applies in a child's case, it takes precedence over other federal or state legislation.

If a state agency initiates an Indian child custody proceeding on the reservation, jurisdiction belongs exclusively with the tribe. When the proceeding is off-reservation, the case must be transferred to the tribe upon the request of the tribe unless there is “good cause to the contrary,”

as set forth in the Department of the Interior's 1979 BIA "Guidelines for State Courts," Indian Child Custody Proceedings. Some of the reasons not to transfer include the following: parents object; child is over twelve and he/she objects; or the case is at an advanced stage and all witnesses are off-reservation. The state court cannot look at the economics of the family or tribe in making the decision not to transfer. Likewise, the state court cannot look at what it might deem "in the best interest of the child," since the law presumes that it is always in the best interest of an Indian child to have his/her own people determine what is proper for his/her future.

ICWA sets forth the following requirements:

1. State court proceedings for foster care placement or termination of parental rights that involve an Indian child must be transferred to the jurisdiction of the tribe unless they meet one of the exceptions outlined in the 1979 BIA "Guidelines for State Courts."
2. A state court faced with pending proceedings for the foster care placement of an Indian child or the termination of parental rights must notify the child's parent, custodian, or tribe of the proceedings.
3. An Indian child may not be placed in foster care unless there is a determination, supported by clear and convincing evidence, that the child will likely suffer serious emotional or physical damage if left in the custody of his/her parent or Indian custodian.
4. An Indian child's parents may not have their parental rights terminated unless there is a determination, supported by evidence beyond a reasonable doubt, that the child is likely to suffer serious emotional or physical damage if left in the custody of his/her parent or Indian custodian.
5. Voluntary consents to foster care placement or termination of parental rights that involve Indian children are not valid unless executed in writing before a judge and accompanied by the judge's certificate that the terms and consequences of the consent were fully explained to and fully understood by the parent or Indian custodian.
  - Voluntary consents to foster care placement may be withdrawn at any time.
  - Voluntary consents to termination of parental rights or adoption may be withdrawn at any time before the final decree of termination or adoption is issued—and up to two years thereafter upon a showing of fraud or duress.
6. In adoptions of Indian children, preferences for placement must be accorded as follows: (1) to a member of the child's extended family; (2) to other members of the child's tribe; and (3) to other Indian families.
7. In foster care or preadoptive placements of Indian children, preferences for placement must be accorded as follows: (1) to a member of the child's extended family; (2) to a foster home licensed or approved or specified by the child's tribe; (3) to an Indian foster home licensed or approved by an authorized non-Indian licensing authority; and (4) to an institution for children approved by an Indian tribe or operated by an Indian organization that has a program suited to the child's needs.

Synopsis prepared in October 1995 by Jill Moore, UNC law student. Updated in May 2000 by Evelyn M. Stevenson, Tribal Attorney, Confederated Salish and Kootenai Tribes of the Flathead Nation.

# The Adoption Assistance & Child Welfare Act of 1980 (PL 96-272)

## Background

This law is a blueprint for combined efforts to preserve families and, if necessary, to build new families for children. It was adopted because insufficient services were being provided to keep families together, inappropriate placements of children were being made, disincentives for adoption existed, foster care was prolonged resulting in a lack of permanency for children, and there was a lack of information about children in foster care. The intention of the law was to prevent the breakup of families and provide permanency planning for children.

## Summary

The federal Adoption Assistance and Child Welfare Act, along with its implementing regulations, requires states that receive federal funds for assistance with foster care maintenance and adoption assistance to adhere to the following requirements:

1. The state must have a plan for child welfare services that:
  - Provides for the diligent recruitment of potential foster and adoptive families that reflect the ethnic and racial diversity of the children needing such care;
  - Describes the measures taken by the state to comply with the Indian Child Welfare Act; and
  - Provides assurances that: (1) the state has completed an inventory of all foster children who have been in care for six months or more; (2) the state is operating a statewide information system regarding children in foster care; (3) the state is operating a case review system for children in foster care; (4) the state is operating a service program to help children return to their families or be placed permanently; (5) the state is operating a program designed to help children at risk of being placed in foster care remain with their families; and (6) the state has reviewed its policies and procedures for children abandoned at or shortly after birth.
2. The state agency administering the state plan must report known or suspected cases of abuse or neglect among children receiving foster care maintenance payments or adoption assistance aid to the appropriate state agency.
3. The state must establish standards for foster family homes and review the standards periodically.
4. In its state plan, the state must set specific goals as to the maximum number of children who will be in foster care for more than twenty-four months, and describe the steps it will take to meet the goal of decreasing the length of stay for children in care.
5. The state must make “reasonable efforts” (a) prior to the placement of a child in foster care, to prevent or eliminate the need for removal of the child from his/her home, and (b) to make it possible for the child to return to his/her home. There is a greater burden to prove “reasonable efforts” when the Indian Child Welfare Act applies. (*Note: Under the Adoption and Safe Families Act of 1997, the safety of the child must be of paramount concern when making decisions regarding reasonable efforts.*)

6. The state must develop a case plan for every child in foster care who receives foster care maintenance payments and must provide a case review system.
7. Under the case review system, the status of each child must be reviewed at least every six months, either by a court or by administrative review.
8. The state must have a procedure or system by which parents may revoke voluntary placement agreements and the child may be returned to them.
9. The state must provide a dispositional hearing for every child in foster care no later than eighteen months after the original placement and every twelve months thereafter while the child's foster care continues. (*Note: Under the Adoption and Safe Families Act of 1997, the hearings are called permanency hearings and must be held within twelve months after the date of the initial order removing custody and at least every six months thereafter.*)
10. The state must have a data collection and reporting system that includes information about children in foster care and children placed for adoption.

Synopsis prepared in October 1995 by Jill Moore, UNC law student.  
Updated in May 2000 by William L. Grimm, Staff Attorney, National Center for Youth Law.

## The Multi-Ethnic Placement Act of 1994 & Inter-Ethnic Adoption Provisions

### Background

Increasing awareness of the damage done to children when they are moved from one non-permanent placement to another brought attention to children whose placements were determined solely, or primarily, on the basis of race. Additionally, public attention was focused on the high percentage of children of color who come into care and who remain in care for long periods of time. Federal law set out guidelines meant to respect the importance of a child's culture and heritage while reducing the time that children wait for homes. This legislation also focused on increasing the numbers and diversity of the pool of available foster and adoptive families.

### Summary

The Howard Metzenbaum Multi-Ethnic Placement Act of 1994 (MEPA), prohibits denial or delay of placement for foster care or adoption by any agency that receives federal funds because of the child's or foster/adoptive parent's race, color, or national origin. The law was intended to:

- Decrease the time children wait to be adopted;
- Prevent discrimination in the placement of children on the basis of race, color, or national origin;
- Prevent discrimination on the basis of race, color, or national origin when selecting foster and adoptive placements; and
- Facilitate the development of a diverse pool of foster and adoptive families.

In August 1996, Congress amended MEPA with the Inter-Ethnic Adoption Provisions (IEP) in order to strengthen its nondiscriminatory provisions and to provide stiff penalties for violation of the act. The antidiscrimination provisions of MEPA-IEP now state that any public or private agency or entity that receives federal assistance cannot:

- Deny to any person the opportunity to become an adoptive or foster parent on the exclusive basis of the race, color, or national origin of the adoptive or foster parent or the race, color, or national origin of the child involved in the foster or adoptive placement; and
- Delay or deny the placement of a child for adoption or into foster care on the basis of the race, color, or national origin of the adoptive or foster parent or the race, color, or national origin of the child involved in the foster care or adoptive placement.

MEPA was enacted to encourage transracial placements of children when appropriate same-race placements are not available. The act specifically permits the consideration of a child's cultural, ethnic, or racial background and the ability of a potential foster parent to meet the child's related needs as one of many factors to consider in determining the best interest of a child. The Department of Health and Human Services published a policy guideline in the Federal Register on April 25, 1995, to be used as guidelines for compliance by agencies. An updated policy guideline related to the amendment was made available in June 1997.

Noncompliance with this act is a violation of Title VI of the Civil Rights Act of 1964. Any person who believes that he/she has been a victim of a violation of the act has a right to bring an action for relief in the appropriate U.S. district court. Any entity found in violation of the law will lose considerable federal matching funds. MEPA does not affect the Indian Child Welfare Act of 1978.

Summary prepared for the Alaska Citizen's Foster Care Review Board. Author unknown. Updated in May 2000 by William L. Grimm, Staff Attorney, National Center for Youth Law.

## **The Adoption & Safe Families Act of 1997 (PL 105-89)**

### **Background**

While major provisions of federal child welfare law were enacted in 1980 (AACWA) and 1997 (ASFA), there were important amendments to the federal law in the interim. An Independent Living Initiative was added in 1986, which was then replaced with the John Chafee Foster Care Independence Program in 1999. In 1989, as part of the Omnibus Budget Reconciliation Act, the definition of "case plan" was modified to require that health and education records be included in the case plan and shared with the child's foster parents. As part of the welfare reform act (the Personal Responsibility and Work Opportunities Reconciliation Act) of 1996, states were directed to consider giving preferences to relatives over a non-related caregiver when placing a child in foster care. That same act contained a provision allowing federal funds to be used to pay for the care of children in private, for-profit institutions.

## Summary

The Congressional mandates, which states must follow in order to receive federal funds for child welfare services, are found in several sections of the United States Code. They include Titles IV-B and IV-E of the Social Security Act. Title IV-B allots funds to states for a wide range of services whose purposes include protecting and promoting the welfare of homeless, handicapped, or neglected children; preventing the breakup of families; placing children in adoptive homes; and assuring adequate care of children placed outside the home. It also funds the Promoting Safe and Stable Families Program, which funds family preservation services (including services to adoptive, extended, and foster families), community-based family support services, time-limited (i.e., within fifteen months after the child enters care) reunification services, and adoption promotion and support services. Title IV-B requires a state to submit a plan outlining how it will use those funds and guaranteeing that it meets certain conditions, including a statewide information system, elimination of barriers to timely adoptions across state lines, a case review system, prompt decisions about permanent placement for children abandoned at birth, a plan to comply with the Indian Child Welfare Act, and a plan that ensures that the safety of children is the paramount concern for all service programs supported by these funds. Title IV-E attaches additional conditions with which states must comply in order to receive federal funds for their foster care and adoption assistance programs. Many of these provisions were first enacted as part of AACWA.

Several new conditions were added, time lines changed, and other provisions substantially modified by the Adoption and Safe Families Act of 1997 (ASFA). Foremost among the changes made in 1997 was the declaration that a child's health and safety must be the paramount concern in all decisions, the creation of exceptions to the requirement of reasonable efforts, and the mandatory filing of a petition to terminate parental rights for a child in care for fifteen months (of the most recent twenty-two months). The conditions imposed upon the states now include:

- 1. Reasonable Efforts:** This mandate was part of the 1980 act. It requires states to make reasonable efforts (a) prior to the placement of a child in foster care to prevent or eliminate the need for removal from his/her home, and (b) to make it possible for him/her to return home from foster care. Its misinterpretation or misapplication by agencies provided much of the impetus for the overhaul of federal law in 1997.
  - **Health and Safety the Paramount Concern:** In determining what efforts are "reasonable" and in implementing services that are part of the reasonable efforts, the paramount concern governing the agency's actions must be the health and safety of the child.
  - **Exceptions:** Reasonable efforts are not required if any one of the following three conditions exists: (a) the parent has subjected a child to an aggravated circumstance. The federal law gives four examples—abandonment, torture, chronic abuse, or sexual abuse. However, states are free to add to the list of aggravated circumstances; (b) the parent has been convicted of murder or manslaughter or having aided, attempted, or conspired to kill his/her child, or been convicted of felony assault resulting in serious bodily injury to one of his/her children; or (c) the parent's rights to a sibling were involuntarily terminated.
  - **Expedited Permanency Hearing:** If the court determines that no reasonable efforts need be made, then a hearing to determine the permanent plan for the child must be held within thirty days and the agency must immediately begin efforts to place the child in a permanent home.

2. **Concurrent Planning:** At the same time the agency is making reasonable efforts to return a child home, it may plan for and make reasonable efforts to place the child for adoption or legal guardianship.
3. **Judicial Determination:** Unless the child is in care as a result of a voluntary written agreement with the parents, there must be a judicial determination that the child's continuation in the home of his/her parent or guardian is "contrary to the welfare of the child" and that reasonable efforts to prevent placement or reunite the child have been made.
4. **Case Plan:** Each child must have his/her own individualized case plan and for a child 16 or older, the plan must describe the services that will help the youth prepare for independence.
5. **Periodic Reviews:** No less frequently than every six months after a child enters care, the court or administrative agency (including a citizen review board) must review the child's case. The purpose of this review is to determine the safety of the child, compliance with the case plan, the progress made in eliminating the causes for placement, appropriateness of the placement, and a projected date for the child's return home or alternative permanent plan.
6. **Permanency Hearing:** The focus of this hearing is different from the periodic reviews. Twelve months after a child has entered foster care, a hearing to determine the permanent plan for the child must be held. In cases of children placed out of state, this hearing must also determine if that placement is still appropriate for the child and in the child's best interest. In cases of a child sixteen years old or older, this hearing must determine what services are needed to help this youth make the transition from foster care to independent living. This hearing must be held every twelve months as long as the child remains in care.
7. **Permanency Plan Options:** Congress specified four types of permanent plans that are acceptable: return to the parent, placement for adoption, legal guardianship, or planned permanent living arrangement. The latter plan may only be considered when the agency has documented for the court the reasons for eliminating the other three permanent options.
8. **Termination of Parental Rights Petitions:** The child welfare agency must file a petition to terminate parental rights for a foster child who falls within one of the following categories: (1) a child who has been in foster care for fifteen of the most recent twenty-two months; (2) a child who has been adjudicated an abandoned infant; or (3) a child whose parent was convicted of one of the crimes that create an exception to reasonable efforts.
9. **Termination of Parental Rights Petitions—Exceptions:** There are three situations in which the agency may defer filing a petition to terminate parental rights: (1) the child is being cared for by a relative; (2) a compelling reason supports a finding that termination would not be in the child's best interest; or (3) the agency has not provided the parent with the services listed in the case plan as necessary for the child's safe return home.
10. **Procedural Safeguards:** Basic procedural safeguards (i.e., notice and an opportunity to be heard) must be provided to the parent and child whenever the child is removed from the home, there is a change in the child's foster care placement, or an alteration in the visiting plan for child and parent is made.
11. **Relative Placement Preference:** The agency "shall consider" giving placement preference to a relative over a non-related foster care provider if the relative meets state child protection standards.

- 12. Foster Care Standards:** Standards drawn from the standards of national organizations, which ensure that children in foster care placements with public or private agencies are provided with quality services that protect their health and safety, must be implemented.
- 13. Foster Parent Criminal Background Check:** Criminal record checks must be completed before a child is placed with a foster or adoptive parent.
- 14. Exclusion of Foster/Adoptive Parent Applicants:** No applicant who has a felony conviction for a crime of violence, including child abuse, spousal abuse, rape, or sexual assault, shall be approved. No applicant with a felony conviction for assault, battery, or a drug offense within the five years prior to his/her application shall be licensed.
- 15. Preparation of Foster Parents:** Due to recognition that foster parents are often inadequately prepared and supported to provide care for the children placed by public agencies in their homes, this provision was added in 1999. It requires that before a child is placed with prospective foster parents, those foster parents will be prepared adequately with the appropriate knowledge and skills to provide for the needs of the child, and that such preparation will be continued, as necessary, after the placement of the child.
- 16. Health Insurance for Adopted Children:** Any special-needs child who is covered by an adoption assistance agreement shall be provided with health insurance coverage that is “of the same type and kind” as that provided to children under the state’s medical assistance program.

Synopsis prepared in May 2000 by William L. Grimm, Staff Attorney, National Center for Youth Law.

## The Foster Care Independence Act of 1999

### Background

After passage of the Adoption and Safe Families Act in 1997, some of the same Congressional leaders who supported or sponsored ASFA turned their attention to older youth in foster care, particularly those youth aging out of the system. Each year approximately twenty thousand children “graduate” from foster care. Many of these children are not prepared to be self-sufficient. Half have not finished high school, almost half have been homeless or incarcerated or have received public assistance after leaving care, and many have no health insurance and go without needed medical care. Confronted with these grim statistics, Congress enacted the Foster Care Independence Act of 1999.

### Summary

The highlights of the Foster Care Independence Act (FCIA) of 1999 include the following provisions. The act:

- Allows states to provide medical insurance coverage to youth between ages eighteen and twenty-one who were in foster care on their eighteenth birthday;
- Allows states to use up to one third of the funds they receive under this new program for room and board for youth between ages eighteen and twenty-one who are leaving foster care;

- Permits states to use federal funds for a wide range of activities and services that will help youth prepare for independence (e.g., substance abuse prevention; preventive health activities; assistance in obtaining a high school diploma or preparing for college or other post-secondary education; mentors; and vocational training);
- Requires that both youth who have left foster care because they aged out at eighteen as well as those youth likely to remain in foster care until age eighteen be provided with services under the program;
- Requires that youth participate directly in selecting the activities and services they need to establish independence and accept personal responsibility for adhering to their plan;
- Doubles the amount of funding for independent-living services;
- Emphasizes that reasonable efforts to find adoptive homes applies to all children, including older children in care;
- Requires that benefits and services must be made available to Indian children the same as other children in care;
- Requires states to use training funds it receives under Titles IV-B and IV-E to provide training to help foster parents, workers in group homes, adoptive parents, and others address the problems youth face in preparing for independence; and
- Subjects states to greater accountability for the programs operated with these funds. The federal agency responsible for this oversight must consult with youth providers, advocates, and others in establishing outcome measures by which the effectiveness of services will be evaluated.

Synopsis prepared in May 2000 by William L. Grimm, Staff Attorney, National Center for Youth Law.

## The Volunteer Protection Act of 1997

### Summary

The federal Volunteer Protection Act of 1997 provides protection from liability for volunteers acting within the scope of their volunteer responsibilities. The volunteer must be properly authorized for the activities. Protection is not provided for willful or criminal misconduct, gross negligence, or reckless misconduct; for a conscious and flagrant indifference to the rights or safety of the individual harmed by the volunteer; for violations of federal civil rights laws; for crimes of violence or terrorism or hate crimes; for actions taken under the influence of alcohol or other drugs; or for harm caused by operating a vehicle that must be licensed. Some states have legislation that gives greater protection than this federal law. States may also pass legislation making the federal protection inapplicable. Many CASA/GAL programs purchase liability insurance to offer greater protection for their volunteers, staff, board members, and the organization. One of the best ways CASA/GAL volunteers can protect themselves from liability is to act within the prescribed CASA/GAL volunteer role and in accordance with the program's policies and procedures.

Synopsis prepared in December 2000 by Michael S. Piraino, Chief Executive Officer, NCASAA.



# CHILD NEGLECT

## Facts About Child Neglect

Deprivation-related disorders develop when the basic needs of the child are not being met, including adequate nutrition, clothing, shelter, emotional support, love and nurturing, education, safety, and medical and dental care. There may be multiple reasons why parents fail to meet those needs, including lack of resources, inadequate access to care, parental substance abuse, mental illness (e.g., depression), the parent putting his/her own needs above the needs of the child, or even a history of abuse of the parent when he/she was a child. In the latter case, the psychological effects may limit the caretaker's recognition of neglect as maltreatment. It is critical to make the distinction between poverty and neglect—a family without financial resources should be offered assistance, not punishment, to help them provide a safe home for their children. Neglect is more than poverty. Below is a list of findings typical to neglect situations:

### Family Social History

- Lack of appropriate well-child care, including immunizations;
- Lack of appropriate medical care of chronic illness;
- Failure to provide necessary health aids such as eyeglasses or hearing aids;
- Failure to provide appropriate dental care; or
- Poor school attendance.

### Physical Findings

- Lack of adequate nutrition (on examination or as evidenced by charting growth);
- Poor hygiene, such as being extremely filthy or having extraordinarily severe diaper rash;
- Developmental delay due to lack of stimulation;
- Untreated medical conditions; or
- Rampant dental cavities.

### Behavioral Findings

- Depression;
- Anxiety;
- Enuresis (wetting);
- Sleep disturbances;
- Excessive masturbation;
- Difficulty relating well or appropriately to other people (e.g., lack of cuddliness, gaze avoidance, preference for inanimate objects);
- Discipline problems, aggressive behavior;
- Poor school performance;
- “Role reversal,” in which child assumes caretaker role; or
- Taking on household responsibilities, including child care, that are not appropriate for age.

*(Note: These findings are not unique to cases of neglect.)*

Adapted from “Diagnostic and Treatment Guidelines on Child Physical Abuse and Neglect,” American Medical Association, 1992.



# CHILD PHYSICAL ABUSE

## Facts About Child Physical Abuse

Although child abuse was identified as a social problem in the nineteenth century, it took almost one hundred years for violence toward children to be considered a major national problem. In the 1940s, through the use of diagnostic x-ray technology, physicians began to notice patterns of healed fractures in young children that could have resulted only from repeated blows. Although pediatric radiologists were diagnosing child abuse, it was not until C. Henry Kempe and his associates published their classic work, “The Battered Child Syndrome,” in the *Journal of the American Medical Association* in 1962 that battering and abuse became a focal point of public attention. By the end of that decade, all states had passed laws requiring the reporting of child abuse and neglect and had initiated efforts to treat abused children and their families. In 1974, the U.S. government established the National Center on Child Abuse and Neglect to provide a mechanism for increasing knowledge about the causes of child abuse and neglect and to identify steps toward prevention and treatment.

The causes of child abuse are complex and varied. Child maltreatment can be inflicted by anyone responsible for caring for children, and it occurs in all types of families and settings. Children of all ages may be physically abused. Although infants and young children are more likely to receive serious or life-threatening injuries, adolescent abuse also occurs and often is unrecognized. Emotional abuse is hard to prove but generally exists with other types of abuse and neglect.

Child abuse may be occurring even when the child discloses nothing or says that he/she has never been hurt. Children frequently do not complain about abuse. Current research has found that the following child and family characteristics may be risk factors for child abuse or neglect:

### Child Characteristics

- The child was born prematurely;
- The child has disabilities or abnormalities; or
- The child exhibits certain different behaviors of infancy and childhood, such as persistent crying.

### Family Characteristics

- There is other violence in the home (in particular, the father abuses the mother or siblings abuse one another);
- Substance abuse, including alcohol abuse, by the parents or caretakers;
- The parents or caretakers lack the necessary maturity to care for the child and have poor coping skills;
- Parental expectations do not match the child’s developmental abilities;
- The caretaker is socially isolated (i.e., has no external support systems);
- Teen parent;
- The family is experiencing high levels of stress from events such as loss of a job, increased financial burdens, serious illness, death in the family, separation, or divorce; or
- Adult members of the family have themselves been abused as children, either physically or sexually.

These risk factors do not always lead to abuse. However, abuse or neglect must be considered whenever physical or behavioral signs are suggestive or recurrent, regardless of the presence or absence of the risk factors above. Different forms of abuse can and do coexist in families. Moreover, abusive behavior often occurs in successive generations of families, a phenomenon known as the “cycle of violence.”

## Diagnosis of Abuse

Physical abuse is defined as inflicted injury to a child and can range from minor bruises and lacerations to severe neurological trauma and death. The following physical findings may be indicative of physical abuse:

<p><b>Burns</b></p> <ul style="list-style-type: none"> <li>• Cigar or cigarette burns, especially on the soles of feet, palms, back, or buttocks;</li> <li>• Immersion burns (stocking- or glove-like without splash burns on extremities, doughnut-shaped on buttocks or genitals); or</li> <li>• Patterned burns resembling an electrical appliance (e.g., iron, burner, grill).</li> </ul> <p><b>Fractures</b></p> <ul style="list-style-type: none"> <li>• Skull, ribs, long bones, metaphyseal (bone growth plates at the bone ending).</li> </ul> <p><b>Central Nervous System Injuries</b></p> <ul style="list-style-type: none"> <li>• Subdural hematoma (internal bruising/bleeding in the space between the skull and the brain)—often reflective of blunt trauma or violent shaking;</li> <li>• Retinal hemorrhage (bleeding inside the eye)—often reflective of blunt trauma or violent shaking;</li> <li>• Subarachnoid hemorrhage (bleeding between the brain and skull)—often reflective of shaking; or</li> <li>• Cerebral infarction (blocking of blood to the brain, stroke), secondary to cerebral edema.</li> </ul>	<p><b>Bruises &amp; Welts</b></p> <ul style="list-style-type: none"> <li>• Forming regular patterns, often resembling the shape of the article used to inflict the injury (e.g., hand, teeth, belt buckle, electrical cord).</li> </ul> <p><b>Lacerations/Abrasions</b></p> <ul style="list-style-type: none"> <li>• Rope burns, particularly on wrist, ankles, neck, torso;</li> <li>• Palate, mouth, gums, lips, eyes, ears; or</li> <li>• External genitalia.</li> </ul> <p><b>Abdominal Injuries</b></p> <ul style="list-style-type: none"> <li>• Bruises on the abdominal wall;</li> <li>• Bleeding into the wall of duodenum or proximal jejunum (stomach or colon);</li> <li>• Intestinal perforation (upturned or torn intestines);</li> <li>• Ruptured liver or spleen;</li> <li>• Ruptured blood vessels;</li> <li>• Kidney, bladder, or pancreatic injury; or</li> <li>• Collapsed lung.</li> </ul> <p><b>Other Indicators</b></p> <ul style="list-style-type: none"> <li>• Münchausen syndrome by proxy (a form of child abuse in which the parent/caretaker relates fictitious illnesses in a child by either inducing or fabricating the signs/symptoms); or</li> <li>• Symptoms of suffocation.</li> </ul>
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Adapted from “Diagnostic and Treatment Guidelines on Child Physical Abuse and Neglect,” American Medical Association, 1992.

# CHILD SEXUAL ABUSE

## Facts About Child Sexual Abuse

Child sexual abuse can be defined as the engagement of a child in sexual activities for which the child is developmentally unprepared and cannot give informed consent. Generally, the perpetrator is an adult, but a child may sexually abuse another child. Sexual abuse need not involve sexual intercourse. Often physical force is not used. Rather, the perpetrator uses gradual seduction techniques. The sexual activities may include genital or anal contact by or to the child, or non-touching abuses, such as exhibitionism, voyeurism, or using the child in the production of pornography. Sexual abuse may result in ano-genital (rectal, vaginal, or penis) injury or be accompanied by other signs of physical abuse, such as bruises, or by signs of neglect, such as poor hygiene. Survivors of child sexual abuse often experience long-term adverse effects on their psychological and social well-being and may be more likely to be victimized or perpetrate in later life as well.

Recent studies suggest that approximately twenty percent of children will be sexually abused in some way before they reach adulthood, with this figure cumulating at a rate of about one percent each year (studies vary widely on these numbers). Boys as well as girls may be victims. The abuse may take place within the family or outside it. Although abusers are more often male than female, women also may be perpetrators. Adolescents are perpetrators in at least twenty percent of reported cases. Offenders are more often someone the child knows rather than a stranger. Sexual abuse often continues for a long period of time. Children living in a home where other abuse is ongoing (e.g., spouse abuse) are at particular risk.

Evidence also suggests that the sexual and physical abuse of children often occur in successive generations of families. This “cycle of abuse,” as it is commonly called, rarely ends unless intervention takes place. The problem of sexual molestation by a stranger, although foremost in the minds of many people, actually represents only a small percentage of total cases.

## Behavioral Findings

Presenting behavioral symptoms are nonspecific, and caution must be exercised not to attribute all such complaints to sexual abuse. The symptoms may also be indicators of stressors not related to abuse. Reactions to stressors depend on the age and emotional maturity of the child, the nature of the incident, the duration of the stress, the child’s history, and the manner in which the child relates to the source of the stress.

### The child, depending on age, may:

- Display extremeness of activity (hyperactivity or withdrawal);
- Manifest poor self-esteem;
- Have poor peer relationships;
- Display a distortion of body image (distorted drawings);
- Display regressive behavior;
- Express general feelings of shame or guilt;
- Have enuresis (wetting) and/or encopresis (involuntary bowel movement);
- Appear frightened or phobic, especially of adults;

- Wear excessive layers of clothing;
- Engage in adolescent prostitution;
- Have severe dissociative disorders; or
- Tend to be dreamy, “spaced out,” in a trance, especially in stressful situations.

With appropriate support from important adults and therapy, the outcome for sexually abused children can be very good. Children can be remarkably resilient if someone believes them, intervenes to keep them safe, and helps them succeed at life tasks.

Adapted from “Diagnostic and Treatment Guidelines on Child Sexual Abuse,” American Medical Association, 1992.

## Responsibilities of the CASA/GAL Volunteer, the CASA/GAL Program Staff & the Attorney Appointed for the Child or CASA/GAL Volunteer

***To make an investigation to determine the facts, the needs of the juvenile, and the available resources within the family and community to meet those needs.***

<b>Staff</b>	Receives and reviews petition and any background information CPS shares about the case. Determines which available CASA/GAL volunteer should be assigned to case.
<b>Staff</b>	Assigns volunteer to case, sending copy of petition and CASA/GAL program appointment order to volunteer. Shares any background information available with volunteer.
Attorney for the Child <b>Staff</b> ✓ <b>Volunteer</b>	Reviews petition.
<b>Staff</b>	Notifies volunteer of dates for emergency custody, adjudication, and disposition hearings.
<b>Staff</b>	As needed, assists volunteer in planning the steps and priorities of his/her investigation.
✓ <b>Volunteer</b>	Visits the child regularly, having direct and sufficient contact with the child to carry out an independent and valid investigation of the child's circumstance and what the child wants so as to be able to make sound, thorough, and objective recommendations in the child's best interest.
✓ <b>Volunteer</b>	Interviews parents and family members. The parents' counsel is informed of the CASA/GAL volunteer's intent to visit or communicate with the parents.
✓ <b>Volunteer</b>	Gathers and reviews data from various records, including CPS, mental health, education, and other community service providers to ascertain the needs of the child. Determines if child is covered by Indian Child Welfare Act. <sup>1</sup>
✓ <b>Volunteer</b>	Verifies accuracy of information gained during investigation.
<b>Staff</b>	Assists the volunteer as necessary to gather and review data from various records, including CPS, mental health, education, and other community service providers.
<b>Staff</b>	Consults with volunteer to ensure all needs are identified.
✓ <b>Volunteer</b>	Determines what services are necessary to meet the child's needs and whether to recommend that the child return to his/her own home or remain in foster care or other group setting.
<b>Staff</b>	Notifies volunteer of foster care reviews and court hearings.

<b>✓ Volunteer</b>	Identifies which resources are available to meet the child’s needs.
<b>Staff</b>	Provides a community resource manual and assists the volunteer in identifying which resources are available to meet the child’s needs.
<b>✓ Volunteer</b>	Formulates recommendations for services to meet the child’s needs.
<b>Staff</b>	Helps volunteer identify additional resources to meet the child’s needs.
<b>Staff</b>	Consults with volunteer prior to hearings to review court report and recommendations.
<b>Staff</b>	Coordinates the sharing of information between the volunteer and attorney for the child prior to the hearing as needed.
Attorney for the Child	Reviews volunteer recommendations with volunteer and/or staff and determines need for witnesses.
<b>✓ Volunteer</b>	Identifies and clarifies issues in the case that are known to be in dispute and agreement.

<sup>1</sup> If the child is an Indian child pursuant to ICWA, it is essential that all the applicable provisions of the law are adhered to by the court. Staff can help volunteers to fully understand this law. The CASA/GAL volunteer will need to advocate for the special services and resources that are specified in the law. Culturally relevant services are not optional—they are mandatory.

In addition, the CASA/GAL volunteer and/or the attorney for the child should ensure that the child’s tribal enrollment rights are protected at all times. If the child is not enrolled, the CASA/GAL volunteer should advocate that the child’s enrollment be completed.

***To facilitate, when appropriate, the settlement of disputed issues.***

Attorney for the Child <b>Staff</b> <b>✓ Volunteer</b>	Identifies and clarifies issues in the case that are known to be in dispute and agreement.
Attorney for the Child <b>Staff</b> <b>✓ Volunteer</b>	Determines the limits within which a settlement can be reached with other parties.
Attorney for the Child <b>Staff</b> <b>✓ Volunteer</b>	Discusses case issues with other parties to determine areas of agreement.
Attorney for the Child	Communicates with volunteer and/or staff about possible settlements.
Attorney for the Child <b>Staff</b> <b>✓ Volunteer</b>	Facilitates agreement among parties when possible.

**To offer evidence and examine witnesses at adjudication.**

Attorney for the Child	Consults with volunteer to determine what evidence is needed for the court hearing.
Attorney for the Child	Reviews case and clarifies disputed issues.
Attorney for the Child	Identifies what evidence is needed and ensures that subpoenas are issued and documents secured that need to be introduced.
Attorney for the Child	Interviews witnesses to prepare them for court, including the child when appropriate.
Attorney for the Child	Performs legal research on disputed legal questions and prepares court presentation of case.

**To explore options with the judge at the dispositional hearing.**

✓ <b>Volunteer</b>	Writes court report, including the child’s wishes, the child’s needs and the resources available to meet those needs, and recommendations for achieving the goal of a permanent safe home for the child. <sup>2</sup>
<b>Staff</b>	Reviews court report to ensure that it includes the child’s wishes, the child’s needs and the resources available to meet those needs, and recommendations for achieving the goal of a permanent safe home for the child.
Attorney for the Child	Reviews volunteer court report.
Attorney for the Child	Advocates for the needs of the child.
Attorney for the Child	Brings the child’s wishes to the attention of the court and lets the court know if the child’s wishes and the child’s best interest are not the same. Many children express the desire to return to their parent, but this may not be in the best interest of the child unless the parent corrects the conditions that led to the placement.
✓ <b>Volunteer</b>	Is present and ready to testify, if necessary, about the court report.

<sup>2</sup> ICWA contemplates that the best interest of an Indian child will be protected by maintaining a tribal identity. The CASA/GAL volunteer should put in his/her court report how the best interest of the Indian child is going to be met and what resources are necessary for that purpose.

***To conduct follow-up investigations to ensure that the orders of the court are being properly executed. To report to the court when the needs of the juvenile are not being met.***

✓ <b>Volunteer</b>	Reviews the court order.
✓ <b>Volunteer</b>	Visits the child regularly and maintains sufficient contact with parents, relatives, foster parents, tribe, and agency personnel to determine if the orders of the court are being properly executed.
<b>Staff</b>	Notifies volunteer of foster care reviews, court hearings, and any relevant information that they receive regarding the case.
<b>Staff</b>	Maintains awareness of all cases assigned to volunteers and has ready access to information to discuss case when necessary and appropriate.
✓ <b>Volunteer</b>	Verifies accuracy of information gained during follow-up investigation.
✓ <b>Volunteer</b>	Notifies staff and attorney for the child if the orders of the court are not being properly executed.
Attorney for the Child <b>Staff</b> ✓ <b>Volunteer</b>	Contacts those who are responsible for carrying out the orders of the court to address issues surrounding noncompliance.
Attorney for the Child <b>Staff</b> ✓ <b>Volunteer</b>	Identifies facts and changes in situation that may necessitate the case's return to court.
Attorney for the Child	Files necessary motions and schedules hearings as needed.

***To protect and promote the best interest of the juvenile until formally relieved of the responsibility by the court.***

✓ <b>Volunteer</b>	Regularly monitors the child in his/her home setting, evaluating appropriateness of placement and whether the child is receiving court-ordered services, identifying any unmet needs.
<b>Staff</b>	Consults with volunteer throughout the life of the case to ensure adequate investigation and monitoring of the case.
✓ <b>Volunteer</b>	Ensures that the child's wishes are known to the court at every review hearing and that the child is appropriately informed about relevant case issues (impending court hearings, the issues to be presented, and the resolution of those issues) in an age-appropriate manner.

<b>✓ Volunteer</b>	If the CASA/GAL volunteer's recommendations for the best interest of the child are in conflict with the wishes of the child, the volunteer informs the child of the reasons for the recommendations. If there is any question about what should be shared with the child, the volunteer consults with staff and/or appropriate professionals to seek guidance.
Attorney for the Child	Ensures that the child's wishes are known to the court at every review hearing.
<b>✓ Volunteer</b>	Determines whether additional services are needed for the child.
Attorney for the Child <b>✓ Volunteer</b>	Advocates for interventions and services that are designed to ensure that as soon as possible, the child is in a safe, permanent home and CASA/GAL program involvement will no longer be necessary.
<b>Staff</b>	Provides support to the volunteer who advocates for interventions and services designed to ensure that as soon as possible the child is in a safe, permanent home and CASA/GAL program involvement will no longer be necessary.
<b>Staff</b> <b>✓ Volunteer</b>	Identifies facts and changes in situation that may necessitate the case's return to court.
Attorney for the Child	Files necessary motions and schedules hearings as needed.
Attorney for the Child	Files appeals as necessary.
<b>Staff</b>	Maintains awareness of all cases assigned to volunteers and has ready access to information to discuss case when necessary and appropriate.

From the North Carolina Guardian ad Litem volunteer training curriculum.





## ICWA RESOURCE MATERIALS

It is critical for volunteers to understand that ICWA applies different standards to cases involving Indian children. It is always in the best interest of an Indian child to have ICWA followed. Therefore, volunteers should be trained to ask if the child they are working with has Native American heritage, even if the child does not “look Indian.” By identifying Native American children and monitoring ICWA compliance, volunteers ensure that the Indian child’s cultural and familial needs will be fully considered by the court.

### **Additional resources available to volunteers:**

- ✓ National CASA Association’s website, [www.casenet.org](http://www.casenet.org). An ICWA section provides articles and more in-depth information.
- ✓ National Indian Child Welfare Association, [www.nicwa.org](http://www.nicwa.org). Several excellent packets of ICWA information are available for a small charge.
- ✓ Tribal Court Program Specialist, National CASA Staff. This staff person can answer questions and provide information regarding ICWA.
- ✓ *Adoption and Safe Families Act of 1997: Issues for Tribes and States Serving Indian Children*, David Simmons and Jack Thrope, 1999. This booklet explains how ASFA and ICWA can work together for the best interests of Indian children. Available through NICWA, 503-222-4044. Booklet is also available to download off of the Internet at [www.nicwa.org/policy/asfa-issues.pdf](http://www.nicwa.org/policy/asfa-issues.pdf). (Note: Adobe Acrobat Reader is required to view the document.)



# The Indian Child Welfare Act: The Need for a Separate Law

**By B. J. Jones**

Because few federal laws govern the disposition of state court cases involving adoption, guardianship, and abuse and neglect, the existence of the Indian Child Welfare Act (25 U.S.C. 1901 et seq.) may come as a surprise to lawyers handling Indian child custody cases for the first time.

The Indian Child Welfare Act (ICWA), which was adopted by Congress in 1978, applies to child custody proceedings in state courts involving “Indian” children—children of Native American ancestry. The provisions of ICWA represent a dramatic departure from the procedural and substantive laws that most states have enacted to govern child custody proceedings. Because Indian children are treated uniquely in the legal system, and because there is an increasing number of court proceedings involving Indian children, the need for lawyers to understand ICWA is fast becoming imperative. (Since ICWA was enacted, more than 250 state and federal court decisions have been rendered.)

## Ensuring a Future

A look at history reveals why Congress determined a special law was needed to protect the rights of Indian children and their parents. Before 1978, as many as twenty-five to thirty-five percent of the Indian children in certain states were removed from their homes and placed in non-Indian homes by state courts, welfare agencies, and private adoption agencies. Non-Indian judges and social workers—failing to appreciate traditional Indian child-rearing practices—perceived day-to-day life in the children’s Indian homes as contrary to the children’s best interests.

In Minnesota, for example, an average of one of every four Indian children younger than age one was removed from his/her Indian home and adopted by a non-Indian couple. A number of these children were taken from their homes simply because a paternalistic state system failed to recognize traditional Indian culture and expected Indian families to conform to non-Indian ways.

Other children were removed because of the overwhelming poverty their families were facing. Although, admittedly, poverty creates obstacles to child rearing, it was used by some state entities as evidence of neglect and, therefore, grounds for taking children from their homes.

It was not only the high number of children being removed from their homes, but also the fact that eighty-five to ninety percent of them were being placed with non-Indians, that caught the attention of Congress. Congress was actively promoting the continued viability of Indian nations as separate sovereigns and cultures at that time. By enacting the substantive placement preferences in ICWA—which require that Indian children, once removed, be placed in homes that reflect their unique traditional values (25 U.S.C. 1915)—Congress was acknowledging that no nation or culture can flourish if its youngest members are removed. The act was intended by Congress to protect the integrity of Indian tribes and ensure their future.

# When Does the Indian Child Welfare Act Apply?

ICWA applies to four types of Indian child custody proceedings:

## 1. Foster Care Placements

ICWA applies to the temporary removal of an Indian child from his/her home for placement in a foster home or institution, when the parent or Indian custodian (defined as an Indian person with custody of the child under tribal or state law or who has the child pursuant to a parental placement) cannot regain custody upon demand (25 U.S.C. 1903(1)). The latter provision exempts ICWA application from voluntary religious or school placements, as well as voluntary placements with private or public agencies where the parent or custodian can regain custody at any time. However, ICWA would apply to a guardianship in which a child is placed with a nonparent, as this fits the definition of a foster care placement.

*(Note: Be aware that certain state courts have limited the applicability of ICWA by holding that the law does not apply to proceedings involving the removal of an Indian child from a non-Indian family (e.g., a case that involves an Indian child raised by a non-Indian mother). Known as the “existing Indian family” exception, this exception has generated some controversy. Refer to your own state’s laws to determine its status in your state.)*

## 2. Termination of Certain Parental Rights

ICWA applies to any proceeding that may result in the termination of the parental rights of the Indian child’s parent or the custodial rights of the child’s Indian custodian, including stepparent adoption proceedings and delinquency proceedings that lead to an attempt to terminate parental rights. (These generally are not governed by ICWA.)

## 3. Pre-adoption Placements

## 4. Adoption Placements

ICWA applies to proceedings that lead up to and culminate in the adoption of an Indian child. It imposes an obligation on both public and private adoption agencies to comply with its provisions.

ICWA does not apply to custody disputes between divorcing parents or custody disputes related to any other proceedings, nor does it apply to delinquency proceedings involving an Indian child who has committed an act that would constitute a crime if it were committed by an adult (except where the state is using the delinquent act as the grounds for a termination of parental rights petition). However, it would apply if the act committed by the child did not constitute a crime (e.g., an act of truancy or incorrigibility).

## Is the Child an Indian?

To apply the provisions of ICWA to a particular child custody proceeding, the court must first determine that the child is an Indian. Much litigation has ensued over this distinction. ICWA defines “Indian child” as a child who is a member of a federally recognized Indian tribe or is eligible for membership in such a tribe and the biological child of a member (25 U.S.C. 1903(4)). Parties to a state court proceeding must defer to Indian tribes on questions of membership.

There are a variety of ways Indian tribes determine membership, ranging from blood quantum requirements to residency requirements; no set formula applies to all tribes. At present, there are more than four hundred Indian tribes and Alaskan native villages that are recognized by the U.S. Department of the Interior and, therefore, governed by the provisions of ICWA. (A list is published annually in the Federal Register.) Children who are members of Canadian tribes or tribes that have state-government recognition only are not governed by the act.

## Procedural Recognition

The provisions of ICWA require that lawyers adhere to numerous specific procedures. First and foremost, because the act vests Indian tribal courts with exclusive jurisdiction over Indian children who live on Indian reservations (25 U.S.C. 1911(a)), state courts, with limited exceptions, cannot exercise jurisdiction over child custody proceedings that involve such children or children whose custodial parents were living on a reservation immediately prior to a foster care or adoption placement. These types of proceedings must be adjudicated through the tribal court of the relevant tribe.

If the Indian child lives off the reservation, the state court may exercise jurisdiction over the child custody proceeding, but the party invoking the state court's jurisdiction must comply with certain procedures: if the proceeding involves the involuntary removal of a child, the petitioning party must notify the Indian child's tribe and the Department of the Interior by certified mail of the pendency of the state court action if the party knows or has reason to believe that the child is Indian.

When a child's tribal affiliation is unknown, the party must notify all tribes that may have some connection to the child as well as the Department of the Interior, which may have information that would help determine the child's tribal status. If the proceeding is voluntary—for example, the mother is voluntarily seeking to terminate her rights so she can place the child for adoption—notice may not be necessary; need will be dictated by the court decisions of that particular jurisdiction.

In situations where notice is required, notice must be completed at least ten days before the state proceedings may advance and it must apprise the tribe of the following: its unconditional right to intervene in the state court proceeding, its right to examine all relevant documents, and its right to request that the start of the proceeding be delayed. Notice also must inform the tribe of its right, and the right of the child's parent or Indian custodian, to request a transfer of the proceedings to the tribal court. The law requires that state courts grant such requests except when one of the following occurs: one of the parents objects to the transfer, the tribal court declines the transfer, or the state court finds good cause not to transfer.

Much of the case law interpreting ICWA has arisen from situations in which one of the parties to a state court child custody proceeding claims "good cause" for not transferring the case to a tribal court. Although "good cause" is not defined under the law, its meaning is made somewhat clear in the guidelines for state courts enacted by the Department of the Interior (44 Fed. Reg. Vol. 44, No. 228, p. 67584 (Nov. 26, 1979)). The guidelines state that a party opposing a transfer to tribal court has the burden of showing good cause by clear and convincing evidence.

Examples of good cause grounds to deny a transfer request include the absence of a tribal court for the tribe in which the Indian child is a member, an objection by the Indian child to a transfer (if he/she is older than age twelve), a history of minimal contact between the child and the Indian tribe and reservation, a situation in which the request for transfer is not timely and the proceedings are at an advanced stage, and evidence that a transfer would impose hardship on the parties and witnesses because of the distance to the tribal court (forum non conveniens ground).

In addition, some state courts have adopted a “contrary to the best interest of the child” standard when deliberating a transfer request—even though such a standard is not included in the law or guidelines—and have invoked it as grounds to deny a transfer when the Indian child has already “bonded” to his/her foster caretaker(s). (Be aware that some other state courts have condemned the use of this standard to deny a transfer.)

## More Procedures

Whatever the reason, if transfer to a tribal court is denied and the case remains in state court, various other procedural protections of ICWA will apply. For example, a party attempting to achieve the involuntary foster care placement of an Indian child must establish, by showing clear and convincing evidence, that an active effort has been made to provide remedial and rehabilitative services to the child’s family and that it was unsuccessful; and continued custody by the parent or Indian custodian likely will result in serious emotional or physical damage to the child.

The latter showing must be supported by the testimony of one or more “qualified” expert witnesses, persons who have substantial knowledge of traditional Indian child-rearing practices or substantial experience working with Indian children. In states with small Indian populations, finding such a person may be problematic, but the alternative—allowing the child’s future to ride on the opinion of experts who may be ignorant and, therefore, biased against Indian parents—is more problematic.

When the petitioning party’s objective is the termination of parental rights to an Indian child, the party has the burden of demonstrating beyond a reasonable doubt that serious emotional or physical harm will befall the child if parental rights are not terminated, and that active efforts to provide remedial and rehabilitative services have been unsuccessful. Again, the findings must be supported by the testimony of a qualified expert witness, one who is versed in the ways of traditional Indian child-rearing practices.

## Voluntary Placements & Adoptions

In recognition that a substantial number of Indian children have been removed from their homes under the guise of “voluntary placements,” ICWA regulates the voluntary placement of Indian children and the voluntary termination of parental rights for adoptions. Its stringent requirements on parties who seek voluntary placements represent an attempt to abolish a longtime pattern by many public and private agencies of abusing the rights of Indian parents.

The act mandates that the valid placement of an Indian child in foster care or the valid termination of parental rights requires the consent of the Indian parent in writing before a judge of competent jurisdiction (either a state court judge, if the child is domiciled off the reservation, or a tribal court judge) who certifies that he/she has explained to the parent the consequences of his/her actions in a language the parent understands, or has had the consent translated into a language the parent understands.

A consent to the termination of parental rights cannot be executed until after the child is ten days old. If the consent is not obtained pursuant to the provisions of ICWA, the termination will not be legal. The party obtaining custody will be barred from invoking a state court's jurisdiction to further place the child, and the child will be ordered returned to the parent, unless returning the child would subject him/her to immediate danger.

An Indian parent or custodian can revoke his/her consent at any time during the foster care placement and before the decree of termination or adoption has been entered. After doing so, he/she will be entitled to the automatic return of custody of the child. In the case of an adoption, however, if the court has already entered an order accepting the voluntary termination of parental rights, the parent cannot revoke his/her consent. In cases where an Indian child has been in the home of an Indian custodian, not only must there be a termination of the parental rights, but also a termination of the custodial rights before the adoption will be legal.

## Placement Provisions

A second, and equally important, goal of Congress in enacting ICWA was to ensure the placement of Indian children in homes that would reflect the unique values of Indian culture. This was achieved by the placement provisions of ICWA, which govern both voluntary and involuntary placements of Indian children and define placement preferences that public and private agencies must follow. (*Note: Indian tribes are permitted under ICWA to change the order of the act's placement preferences, so you must investigate with each tribe you encounter the order of its particular preference scheme.*)

According to ICWA, when an Indian child is placed in foster care, the placement agency or party must place the child, in the absence of good cause to deviate, with (1) a member of the Indian child's extended family (including non-Indian members of the family), (2) a foster home licensed or approved by the child's tribe, (3) an Indian foster home licensed or approved by a non-Indian agency or authority, or (4) an institution for children that has the approval of an Indian tribe.

To determine which placement option best meets the intent of ICWA, the placement agency must consider the need to approximate the child's family setting as closely as possible, to keep the child as near as possible to his/her family's home, and to place the child in the least restrictive environment.

When an Indian child is placed for adoption, ICWA requires that, in the absence of good cause to deviate, the child be placed with (1) a member of his/her extended family, (2) other members of his/her tribe, or (3) other Indian families. In this situation, too, it is necessary to determine whether the tribe involved has altered the standard preference scheme.

In either a foster care or adoption placement, if the party advocating a deviation from the placement preferences demonstrates good cause to deviate, the state court can sanction a placement that does not conform to the standard placement criteria.

The Department of the Interior's guidelines for state courts lists the following as examples of good grounds to deviate: (1) a request to deviate that comes from the biological parents or the child (provided he/she is of "sufficient" age), (2) extraordinary physical or emotional needs of the child (as established by qualified expert testimony), and (3) the determination—after a diligent search for a family that meets the placement preferences—that a "suitable" family is not available.

## Is It Working?

The standard by which any law should be judged is whether it has achieved its stated legislative objective. The Indian Child Welfare Act was enacted to prevent the continued removal by state agencies, courts, and private agencies of large numbers of Indian children from their families and—equally important—their culture.

At the very minimum, the existence of the act has brought attention to the unique needs of Indian children and provided state agencies and judges with a valuable, cross-cultural educational tool. Although the removal of Indian children from their homes continues to occur at an alarming rate, ICWA mandates a process that, if adhered to over time, will eventually ensure the survival of Indian tribes and cultures well into the future.

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