

# **Appendix A**

## **Facilitator's Guide**

## Facilitator's Guide

As noted in the Introduction of this guidebook and of no surprise to anyone working in child welfare, alcohol and drug treatment, and dependency court systems, collaboration is not easy. Even when people sincerely want to collaborate, it is hard to share authority and accountability with people who come from different backgrounds, have different values, and work for different systems from our own. The previous sections of this guidebook recommend activities and approaches that may be quite different from those currently in use. Reading about and even endorsing these strategies will not make them happen. Creating change takes dedication, commitment, support, and perseverance.

This section provides suggestions, tools, and templates to help staff create, govern, and work within a collaborative structure. It is a close companion to Section I of this guidebook, in which a collaborative structure and activities are suggested. This section is specifically aimed at people responsible for chairing or facilitating Steering Committee or Subcommittee meetings. While every collaborative endeavor is unique, collaborative groups tend to go through similar processes and struggles. The material included here draws from insights gained from providing technical assistance to more than 40 States and countless local communities.

The SAFERR tools and materials were developed specifically for use by staff working in the child welfare, alcohol and drug, and court systems, but they are not specific to any particular State. Each jurisdiction should use the information included here in the way that best addresses its own priorities and concerns. Successful collaborative endeavors depend on the leadership, relationships, communication, and specific policy priorities of the group, not on the use of any particular tool. Some communities may adhere closely to the processes suggested in this section, and others may simply use some of the templates to help them in their own processes. In either case, this section is an attempt to provide staff with the benefit of prior efforts made by colleagues across the country.

Screening and assessment are just two components of a larger framework of collaboration. While these materials focus on those two components, communities should approach them in the context of a larger framework of collaboration that goes beyond screening and assessment to include engaging and retaining families in services and evaluating family and systems outcomes (Young & Gardner, 2002). A revised framework, included in the Appendix of Young and Gardner's document, can be found in "Framework and Policy Tools for Improving Linkages between Alcohol and Drug Services, Child Welfare Services and Dependency Courts" at <http://ncsacw.samhsa.gov>.

### Step One: Getting Started

#### *Establishing the Project*

The Oversight Committee, composed of the top officials in each system, can give the initiative significant weight among their employees and in the larger community if, at the outset, they release a short notice and statement of support. This notice would be signed by all of them on letterhead stationery that includes all agency logos. The notice might include the names of Steering Committee members and a few facts about goals and timetables. The next page is a generic letter, adapted from one developed by staff in Colorado.

## Sample Project Announcement Letter

LOGO  
(Court)

LOGO  
(Alcohol and Drug)

LOGO  
(Child Welfare)

Substance abuse and child maltreatment are two of our country’s most pressing social problems, and they are elaborately interconnected. Nationally, in cases in which a child has been placed in custody, estimates of parental substance abuse range from 33 percent to 66 percent. Anecdotal evidence suggests that over 90 percent of dependency court cases involve children affected by substance abuse. *(State or county specific data can be added here)*

Despite these connections and the implications involved in removing children from their parents, child protective services workers, substance abuse counselors, and judges and lawyers often lack guidelines, protocols, and knowledge when making decisions about child placement, services to families, and termination of parental rights.

We understand that no employee and no agency can resolve problems of child maltreatment and substance use disorders<sup>1</sup> on its own and that unless we work together to better serve families, none of us will succeed. (The term “substance use disorder (SUD)” is used in this paper as the more precise terminology indicating diagnostic criteria of the *Diagnostic and Statistical Manual (DSM)* of substance abuse or dependency. The term “alcohol and drugs” is used when referring to the broad general issue of substance use.) Therefore, we have jointly created a *State- or county- (specify)* wide initiative that will result in protocols for screening, assessing, engaging, and retaining families who have substance use disorders and who are involved with our child welfare and dependency court systems.

Overall guidance for this initiative is provided by the Steering Committee listed below. We have asked the Steering Committee to create relevant topic-specific Subcommittees and hope that many of you will participate on these subcommittees. We will serve as the Oversight Committee, and for purposes of this project, the Steering Committee will report to all of us regarding progress, problems, and results.

It is essential that the Steering Committee and Subcommittee processes be inclusive, open, and based on principles shared by all systems. It is equally essential that the results be both grounded in research and practical to implement.

This project represents an important and exciting opportunity for families and staff. We look forward to working together and thank you for your support and interest as we go forward.

\_\_\_\_\_  
**Court Administrator**

\_\_\_\_\_  
**Alcohol and Drug Director**

\_\_\_\_\_  
**Child Welfare Director**

### Steering Committee Members

Name	Affiliation and Contact Information

The Oversight Committee should issue written letters of appointment to each Steering Committee member. These letters give the project prominence within each system, provide support for Steering Committee members to spend the time required to participate in the project, and make it clear that the member has authority to make decisions on behalf of the agency.

### Sample Project Announcement Letter

LOGO  
(Court)

LOGO  
(Alcohol and Drug)

LOGO  
(Child Welfare)

Dear

We are pleased to announce that (name of jurisdiction) is launching an initiative to help us better serve families with substance use disorders who are involved with child welfare and dependency courts. With this letter, we are appointing you to serve on the Steering Committee for this important project. The three of us collectively compose the Oversight Committee, and the Steering Committee reports to all of us.

We will meet with the Steering Committee at its first meeting and then quarterly thereafter. At our kickoff meeting, we plan to explore more deeply what each agency would like to achieve from this project, identify areas of common and diverging priorities, and develop one or more overarching goals that cross our three systems. We will also discuss more fully the authority, scope, and mandate of the Steering Committee.

By the end of the kickoff meeting, we plan to have identified areas of greatest interest and priority for action. We also will talk more fully about the Subcommittees that we know will be necessary to achieve the goals, and we will set a schedule of Steering Committee and Oversight Committee meetings for the next 12 months.

You will receive more information about the kickoff meeting in the coming days.

We are very excited about this project and look forward to working with you.  
Thank you for agreeing to serve on the Steering Committee.

\_\_\_\_\_  
**Court Administrator**

\_\_\_\_\_  
**Alcohol and Drug Director**

\_\_\_\_\_  
**Child Welfare Director**

Section I, “Building Cross-System Collaboration,” lists the type and level of staff who should serve on the Steering Committee and specifies that they should be at a level to make decisions and commitments on behalf of their agencies. Each jurisdiction should add other perspectives to the Steering Committee as determined by local needs and structures.

### ***Steering Committee Structure and Governance***

Initiatives of the scope and importance described in this guidebook that address challenging issues warrant the use of a paid outside facilitator, at least in the beginning. While some members of the

Steering Committee will not know each other before coming together for this project, others will have had prior experiences, both positive and negative, with each other. It is asking a lot of senior managers to participate in decisionmaking groups in which one of their colleagues is “in charge,” even if only as a facilitator. It is also expecting a lot of a senior manager to ask him or her to facilitate a senior-level decisionmaking body while serving as a “voting” member of that body.

The Steering Committee facilitator need not be a full-time job. A skilled consultant who is familiar with the subject matter and State operations can be hired on an hourly or fixed-price basis. Ideally, the three systems should contribute to pay facilitator fees, thus modeling the collaboration they expect of staff. It is also quite possible that a local foundation would fund such a position if requested by the top officials from all three systems.

As noted in Section I, if hiring an outside facilitator is simply not possible, the Oversight and Steering Committees must find other ways to ensure members that they will be treated equally. Communicating to all Steering Committee members that the Steering Committee reports equally to the three Oversight Committee members can help reduce the perception that one agency is running the initiative. Or, the Steering Committee might be co-facilitated by representatives of all three systems. As a last alternative, people from each system could rotate as facilitators. This section uses the term “facilitator” to include internal staff or external consultants.

### Using Internal Facilitators

If an internal facilitator is used, it is important for the facilitator and the Steering Committee to be aware of the person’s multiple and potentially conflicting roles. The facilitator should tell the group at the outset that he or she is serving as a facilitator and not as a staff member or agency representative, and then must diligently maintain that distinction. The facilitator’s job is to manage discussions without getting pulled in. If the facilitator absolutely needs to make a point as a staff or agency representative, he or she should make a statement to that effect, make the point, and then state that he or she is returning to the facilitator role. When the boundaries of these different roles are delineated and respected, others will be more inclined to trust and respect the boundaries as well. (Adapted from Arnie Arnoff, Director of Training and Organizational Development, The University of Chicago, May 2002.)

The Steering Committee will require the services of an administrative person to take minutes during meetings, follow up on decisions and commitments made during meetings, and distribute agendas or other reading material. It is impractical to ask the facilitator or Steering Committee member to perform these tasks.

The Steering Committee should consider using student interns. Graduate public policy or social work students often need field placements in order to complete their course requirements. These students frequently know how to conduct literature reviews and other research, and they are often skilled at preparing presentations or other public information brochures and fact sheets.

One important responsibility of the Steering Committee will be to create and oversee the activities of several Subcommittees that will work on one or a few specific issues related to screening and assessment. Subcommittee members should represent the frontline of practice in each system and come from local offices that are interested in pilot testing and implementing cross-system training strategies, screening or assessment protocols, or multidisciplinary teams that emerge from the project. Ideally, a

Steering Committee member should chair each Subcommittee, to ensure that information flows easily and accurately between the two groups.

Details of Steering Committee members' roles and responsibilities should be thoroughly explored and recorded during its first, kickoff meeting, described below. Initially, it is recommended that the Steering Committee meet monthly, especially if it will meet with the Oversight Committee quarterly. After plans of action have been developed and Subcommittees established, the Steering Committee could possibly meet less often.

### **Step Two: The Kickoff Meeting**

If possible, the Steering Committee should start its work with a 2-day kickoff meeting, with the three members of the Oversight Committee attending for at least part of that time. This meeting should be held in a neutral location, to avoid the appearance that any system is leading the initiative and to reduce the likelihood that members will go back and forth to their offices. If a 2-day meeting is not feasible, the activities planned for that time can be accomplished over a series of meetings.

#### ***Outcomes of the Kickoff Meeting***

By the end of the kickoff meeting, the following should be in place:

##### ***Substantively:***

There should be a “wish list” describing the kinds of policies, protocols, training curricula, multidisciplinary teams, and other innovations that members would like to explore through this initiative. This list does not have to reflect consensus of the group, but there should be general agreement on highest priority areas.

##### ***Procedurally:***

Members should understand their roles and responsibilities, meeting dates should be established for the next 12 months, and members should understand and support ground rules for meetings, discussions, and decisions.

The next two pages offer an annotated generic agenda for the kickoff meeting. This agenda covers all the important items that should be discussed at the first meeting. The page following the agenda provides more information and some exercises to help facilitators guide the discussion on some of the topics included on the agenda.

## Sample Kickoff Meeting Agenda

### *Location and Time*

#### Day One

##### **8:45 – 9:45            Introductions**

Participants will introduce themselves to the group, including descriptions of their backgrounds, what they and the organizations they represent hope to gain from this initiative, and what changes they would like to see for the families they serve.

##### **9:45 – 11:00           Overview of the Project**

The Oversight Committee, comprising the Court Administrator, and Directors of the Alcohol and Drug and Child Welfare Service<sup>2</sup> systems, will describe why they established this initiative, what they expect from it, and what kind of guidance and direction they will provide to the Steering Committee. (The term “child welfare service system” includes public agencies operated by States, counties, and federally recognized Indian tribes as well as nonprofit or for-profit organizations operating under the auspices of those governments.) The Oversight Committee will present its view of roles and responsibilities of the Steering Committee and will hear suggestions and ideas from Steering Committee members.

##### **11:00 – 11:15           Break**

##### **11:15 – 12:30           Presentations From Agencies, Tribes, and Consumers**

Representatives from the three State systems, a county, a tribe, and consumers will present overviews of their agencies and systems. The presentations will describe agency missions, structures, and principal activities. In addition, the representatives will highlight particular “hot” issues facing their agencies, and will describe relationships their agencies have with each other, the State legislature, and universities.

##### **12:30 – 1:30            Lunch**

##### **1:30 – 2:15            Presentations From Agencies, Tribes, and Consumers (cont’d)**

##### **2:15 – 3:15            Brainstorming** (including break)

Members will express their ideas and hopes for desired activities, products, and outcomes of the initiative. All ideas will be accepted and recorded. The result of this exercise will form the basis for project goals and tasks.

##### **3:15 – 4:15            Steering Committee Ground Rules and Future Meetings**

This session will establish meeting dates for the Steering Committee for the coming year. Meeting times will be established, and ground rules regarding attendance, communication, and decisionmaking processes will be discussed and agreed to. A process for creating and distributing minutes and background materials will be determined.

**4:15 – 4:30**                    **Closing Comments**

**Day Two**

**8:30 – 9:00**                    **Recap of Day One**

All participants will reflect on the prior day to clarify issues that may seem vague, to ask questions, or to raise additional issues that have occurred to them.

**9:00 – 10:30**                    **Framing the Project**

Members will review the wish list that resulted from the brainstorming and explore key priorities, challenges, and additional tools or resources that might be required to achieve goals. The group will reach consensus on the issues of most importance, the ideal outcomes for those issues, and barriers to achieving the outcomes.

**10:30 – 10:45**                    **Break**

**10:45 – 12:00**                    **Exploration of Subcommittee Topics and Structures**

On the basis of results from the Brainstorming and Framing the Project discussions, the group will identify issues that are most likely to be addressed through the work of Subcommittees. It will determine Subcommittee structures, roles, and responsibilities, including Steering Committee responsibilities in guiding Subcommittees. Preliminary lists of possible Subcommittee members will be established.

**12:00 – 1:00**                    **Lunch**

**1:00 – 2:00**                    **Planning for Next Meeting/Meeting With Oversight Committee**

Members will develop agenda items for the next meeting, assign the lead person for each item, and determine background material required. (Agenda items/exercises are likely to include completing the Collaborative Values Inventory or completing the Understanding Our Systems Worksheet, both of which are described below and included in this *Facilitator's Guide*).

**2:00 – 2:30**                    **Closing and Next Steps**

The Steering Committee will identify unresolved issues and develop strategies for addressing them.

## ***Techniques for Guiding the Kickoff Meeting***

Steering and Subcommittee procedures and ground rules are described in Section I. The following paragraphs address the substantive items that will be discussed during the kickoff meeting.

### ***Introductions***

Not all Steering Committee members will know one another, especially those Committees that have broad representation including consumers, family members, tribal members, and social service agencies. The facilitator should develop creative and enjoyable ways to have people introduce themselves or each other to the group.

### ***Overview of the Project***

The kickoff meeting is the first time the Steering Committee will be coming together, and it will be joined by the directors from all three systems. Some members are likely to be unsure of why they were asked to participate, uncertain of demands that might be placed on their time or resources, and unfamiliar with others on the Committee. The facilitator should work with members of the Oversight Committee before the meeting to help them present their vision and ideas, to concretely describe their goals and expectations, and to specify clearly their charge to the Steering Committee. In addition, the facilitator should ensure that the Oversight Committee is open to hearing ideas and suggestions from the Steering Committee.

### ***Presentations From Agencies, Tribes, and Consumers***

Not all Steering Committee members will be knowledgeable about each other's systems. Representatives from the three State systems, counties, tribes, and consumers should be asked in advance to present brief overviews of their agencies, systems, or experiences with agencies and systems. The facilitator should work with presenters before the meeting to be sure they prepare comments in advance and have visual or written information to accompany their comments. Presenters should consider this presentation to be an important and substantive one about their agency mission, structure, and activities.

### ***Brainstorming***

Brainstorming is helpful when a group is interested in generating a lot of ideas and when people need encouragement to speak out. The group can use ideas generated in a brainstorming session to choose the specific issues they want to develop into projects and plans of action. Brainstorming discussions are likely to raise questions about which families will be the focus of this initiative. The child welfare and alcohol and drug service systems are involved with a larger group of families than are the courts and will be interested in developing strategies that include both court-involved and non-court-involved families. Court staff will be more interested in focusing on families under court jurisdiction. The box below provides some guidelines regarding brainstorming sessions.

## Rules of Brainstorming

1. Postpone and withhold judgment of ideas.
2. Encourage wild and exaggerated ideas.
3. Quantity, not feasibility, counts in brainstorming.
4. Build on the ideas put forward by others.
5. Every person and every idea has equal worth.

*(Adapted from Infinite Innovations Ltd., c 1999–2001)*

## Methods of Brainstorming

### *Structured Go-Arounds*

To be used when interested in hearing from everyone. Each person is given an opportunity to speak, usually within a time limit. Responses are saved until everyone has had a chance to contribute.

### *Gallery Method*

Large sheets of paper, blackboards, or flip charts are used on which general themes or ideas are written. Participants then walk around the “gallery,” read the ideas, and add their comments or thoughts. This method is good for people who prefer writing to speaking and for people who are visual learners.

### *Individual Writing*

Group members are given a topic, task, idea, or free reins to write for a defined period of time, typically 15 minutes. This method is good for generating ideas, soliciting opinions, slowing down a heated discussion, or for unlocking a stalled discussion in which no one is participating.

*(Adapted from Arnie Arnoff, Director of Training and Organizational Development, The University of Chicago, May 2002)*

## Framing the Project

The brainstorming session provides the opportunity for everyone to put thoughts on the list without having to explain or defend them. The outcome of the brainstorming session should yield a diverse and rich list of interests, issues, and concerns. The Framing the Project session allows members to think more deeply about these ideas, understand other points of view, and challenge assumptions and be challenged. From this discussion, the group should be able to group topics into general categories and to select a few categories that are the most important to address, even if there is not agreement on every item. This discussion also will help the Steering Committee envision topics for future meetings and for assignment to Subcommittees.

The next steps included in this section provide information about tasks and activities that the Steering Committee should undertake at subsequent meetings.

### **Step Three: Developing Shared Values, Principles, and a Mission Statement**

Experience has repeatedly shown that the most critical first activity in creating an effective collaborative Steering Committee or other workgroup is holding open and honest discussions about values and

principles. These discussions are not focused on securing or forcing agreement on every value, but they should ultimately yield statements of mission, values, and principles that the group endorses and supports.

When people from the alcohol and drug system, child welfare system, dependency courts, tribes, consumers, and other agencies come together, they bring with them both overlapping and divergent values and philosophies. Systems, agencies, and workers have values that reflect their organizations and their professional training. For example, child welfare agencies are charged with ensuring child safety, alcohol and drug treatment agencies have deep concern for the adult's recovery from substance use, and the court is focused on establishing permanent living arrangements for children. These values are intense, deep seated, and long lasting.

Value differences cannot be ignored, and they will not always be reconciled. Unless differences are acknowledged and accepted, however, they will emerge repeatedly and frustrate efforts to make important changes. At the same time, when people acknowledge their differences and then move on to explore and reinforce their shared values, those values become the base on which significant progress can be made.

### ***Developing Trust***

At their most fundamental, collaborations are based on trust. Trust is both a prerequisite for and a product of collaborative activities. Trust is most often discussed in terms of relationships between families and workers, but in fact trust includes other important dimensions. For example, staff at all levels in each system must believe that staff in the other systems will respond appropriately to the needs of children and families and will both share their expertise with and seek help from people from other fields. In addition, staff within each system must trust that officials in their own system will give them the skills to do their jobs well and will support them in their work. This *Facilitator's Guide* includes a more detailed discussion regarding how leaders can address all of these dimensions of trust.

The first task of the Steering Committee will often be to create the level of trust required for systems to work together effectively. It is likely that the same trust issues that emerge during Steering Committee discussions also exist in local jurisdictions and at the frontline. To the extent that members of the Steering Committee create and sustain their own trust, they can communicate and model that trust within their own agencies and to their staff. As people develop trust in one area or around one issue, it will be easier for trust to develop in other areas as well. Trust will be an outcome of the work staff does to identify shared values, increase their understanding and knowledge about each other, participate in training together, and develop communication structures.

The table below, **Dimensions of Trust**, summarizes the many dimensions of trust that have to be addressed.

<b>Dimensions of Trust</b>	
<b>Trust Dimension</b>	<b>Examples</b>
Workers have to earn the trust of their clients.	<p>Workers have to:</p> <ul style="list-style-type: none"> <li>• Refrain from passing judgment.</li> <li>• Be comfortable in their knowledge of program rules and services.</li> <li>• Be forthcoming and clear in presenting options and consequences.</li> <li>• Explain why they need to know certain information and what will happen with information provided.</li> <li>• Not turn over to such an extent that recipients feel no one knows them.</li> <li>• Respect recipients.</li> <li>• Believe that recipients have strengths and potential.</li> <li>• Hold confidential information in confidence and explain to families when and how information may be shared.</li> </ul>
Agencies have to earn the trust of their clients.	<p>Agencies have to:</p> <ul style="list-style-type: none"> <li>• Create forms, brochures, and letters that are user friendly.</li> <li>• Ensure that services exist to help recipients.</li> <li>• Develop written and visual material to help recipients learn about services.</li> <li>• Create the most private and pleasant waiting and interviewing areas possible.</li> <li>• Seek feedback from families regarding services and procedures.</li> <li>• Create policies that support recipients in disclosing problems.</li> </ul>
Workers have to trust their skills and capacities.	<p>Workers need opportunities to:</p> <ul style="list-style-type: none"> <li>• Learn about addiction, child maltreatment, and legal processes.</li> <li>• Identify and explore their personal beliefs and values about addiction and child maltreatment.</li> <li>• Visit substance abuse treatment programs.</li> <li>• Work collaboratively with staff from treatment programs in making shared decisions about services and progress.</li> <li>• Achieve and be recognized for their achievements.</li> </ul>
Agencies have to earn the trust of their staff.	<p>Workers need to feel confident that:</p> <ul style="list-style-type: none"> <li>• If recipients seek help, the agency has resources to provide that help.</li> <li>• They will have ample opportunity for training that includes both conceptual and practical elements, and that they can practice and problem-solve what they have learned.</li> <li>• Their judgment, perspective, and autonomy are respected and valued by supervisors and managers.</li> <li>• The agency has employee assistance plans or other mechanisms for staff who have substance abuse problems themselves or within their families.</li> <li>• They have opportunities for growth.</li> </ul>

### ***Task 1: Complete the Collaborative Values Inventory and the Collaborative Capacity Instrument***

Children and Family Futures staff have been providing technical assistance to collaborative efforts in States and local jurisdictions for the past decade. This work led them to develop the *Collaborative Values Inventory (CVI)*, a self-administered questionnaire that provides jurisdictions with an anonymous way of assessing the extent to which group members share ideas about the values that underlie their collaborative efforts. (The CVI is included at the end of this section and is available at [www.ncsacw.samhsa.gov](http://www.ncsacw.samhsa.gov).) The CVI is simple and short, but it identifies areas of commonality and difference that are easily overlooked either because people feel uncomfortable discussing values or because they move directly to program and operational issues.

When disagreements arise, it is easy for people to feel that others are merely protecting turf, playing politics, or unaware or unsympathetic to a need. If a group explores values and beliefs, however, and learns that members feel differently about some basic assumptions that affect community needs and responses, it has a better grasp of why disagreements arise. The group also can respond more professionally and appropriately during such disagreements. For example, value discussions frequently lead to the realization that systems have different beliefs on something so basic as “who is the client.” The alcohol and drug system has traditionally viewed parents as clients, and the child welfare system has considered the child to be the client. If this difference is aired and discussed, generally staff from both systems conclude that everyone serves the *family*, even though each may focus on specific aspects of family functioning.

The *Collaborative Capacity Instrument (CCI)* is also a self-administered questionnaire that provides people with information on how well members of their group perceive that systems collaborate and on areas in which members believe that collaboration is either strong or weak. The CCI is also included at the end of this section and can be obtained through [www.ncsacw.samhsa.gov](http://www.ncsacw.samhsa.gov).

### ***Task 2: Create a Mission Statement and a Statement of Values and Principles***

By the end of the Steering Committee kickoff meeting, Committee members will have reached general agreement on issues that are the most important or interesting. After completing and discussing the *CVI* and *CCI*, the group will have a good feel for those values members share and are important to everyone.

The next task for the Steering Committee is to translate that agreement and knowledge into a simple, preferably one-page document that includes a mission statement for the initiative and a list of principles and values that will guide the group in its work. The principles should be specific enough to guide decisionmaking.

The box below provides an example of a mission statement and shared values and principles. The values and principles relate to the practice questions posed in Section III of this guidebook, “Collaborative Practice at the Frontline.” Section I of this guidebook includes a list of principles that have been developed in some jurisdictions, and the end of this section includes values and principles developed by the Sacramento County Dependency Drug Court and Cuyahoga County, Ohio. It also includes a statement of values and principles developed jointly by the American Academy of Child and Adolescent Psychiatry (AACAP) and the Child Welfare League of America (CWLA).

## Mission Statement

To improve screening and assessment for families involved in the child welfare service system and dependency courts who are affected by substance use disorders.

## Shared Values and Principles

### *Determining the existence and immediacy of a child welfare or substance use issue*

- In making decisions regarding child safety and family well-being, practitioners from all systems should consider the possibility of substance use disorders and adopt a “screen out” stance with regard to substance use.
- Regardless of which system (alcohol and drug, child welfare, or dependency court) the family enters and what the presenting problem is, practitioners should systematically inquire about potential involvement with the other systems.

### *Determining the nature and extent of a child welfare or substance use issue*

- Team members’ effective communication is more critical than the specific tool in determining the relationship between substance use and child safety or risk.
- Sharing information appropriately is desirable, helpful, and feasible.
- To make appropriate referrals for assessment, people from all systems should understand the range of funding streams that are available and should know how to access them.

### *Developing treatment and family case plans, monitoring change, transitions, and outcomes.*

- Case plans can and should be modified as circumstances change.
- Actions should have consequences that are fair, timely, and appropriate to the action.
- Consequences should apply to families and to staff; consequences should not be used solely as punishments.
- Family progress should be recognized, noted, and shared with family members.

## Step Four: Review Current Operations

Steering Committee members will by now have at least a passing knowledge of each other’s systems, but it is unlikely that they will have enough knowledge on which to make decisions about policy and practice changes. Therefore, it is important for the members to develop a deeper level of understanding about each system and where systems connect.

### ***Task 1: Define Terms and Processes***

Section I features the **SAFERR Terms and Processes in the Child Welfare Service, Alcohol and Drug Service, and Dependency Court Systems** table that provides short definitions and descriptions of processes within all three systems at several points in time during the period they are working with families. The Steering Committee should charge a Subcommittee with using this chart to define, review, and describe each process as it exists in the State or jurisdiction. Experience has shown that this task

includes many “eye opening” moments during which people realize that they have been unaware of or misunderstood other agencies’ processes.

At the end of this task, members should understand how other systems operate and how different systems define similar processes in different ways. Most important, the Steering Committee should address differences in language or inconsistencies in processes to develop common terms and descriptions. In addition to setting the stage for changes in policies and practice, creating a uniform set of terms and processes provides a good basis for creating or revising training curricula that can be used with staff in all systems.

***Task 2: Complete Worksheet 1: Understanding Our Systems***

The outcome of the analysis undertaken in Task 1 can be used to complete Worksheet 1: Understanding Our Systems. A sample completed Worksheet 1 follows on the next page. This worksheet provides the Steering Committee with a short summary of the current situation and concerns about current practice that need to be addressed. Information from this worksheet will be useful in creating the plan of action for the project.

<b>WORKSHEET 1—UNDERSTANDING OUR SYSTEMS</b> <i>SAMPLE</i>		
<b>Where Are We Now?</b>		<b>Issues with Current Policy/Practice</b>
<b>PRESENCE AND IMMEDIACY</b>	<b>How is a substance use disorder identified in the CWS system?</b>	
	<b>When</b>	Whenever CWS professional identifies it as an issue
	<b>Where</b>	Wherever the CWS professional is with the family (e.g. CWS office or home visit)
	<b>By Whom</b>	CWS professional
	<b>How is this communicated to the other systems?</b>	<p>CWS professional makes referral to ADS treatment provider with signed release of information form and history</p> <p>Inclusion in court report for court-involved families</p>
		<p>CWS professionals often do not have adequate training in identifying and screening for alcohol and drug issues</p> <p>No standard for screening families</p> <p>Over-referral by some CWS professionals and under-referral by other professionals; based on individual knowledge of SUDs</p> <p>Release of information form and history are not always being sent to the provider</p> <p>When CWS professional refers to the ADS treatment provider there may be a lack of follow up; individuals not making it to treatment and no one is going after them to try and engage them</p>

<b>How is risk of child abuse or neglect identified in the ADS system?</b>		
<b>When</b>	If an incident arises where a provider needs to report child abuse and neglect	Throughout a State, there is no structured way of identifying child abuse and neglect issues; agencies have their own training programs and ways of identifying (or not) children's issues  No structured training on mandated reporting laws; no information given when the law changes
<b>Where</b>	ADS program	
<b>By Whom</b>	ADS professional	
<b>How is this communicated to the other systems?</b>	Through the CWS hotline	
<b>How is a SUD identified in the dependency court?</b>		
<b>When</b>	At the time of petition filing	Case specific; no systemic policy/procedure around CWS informing court of alcohol and drug issue  Issue of judges' misunderstanding or having a lack of knowledge around alcohol and drug issues; when and what type of testing is appropriate; same problem with attorneys and other judicial staff
<b>Where</b>	Court	
<b>By Whom</b>	Attorney for CWS presents evidence that includes information from the CWS professional	
<b>How is this communicated to the other systems?</b>	Through the court report	

Task 3: Complete Worksheet 2: Where Do We Want To Go From Here?

Worksheet 2 continues the process started with Worksheet 1. Once people understand and agree on how systems currently operate, how information is or is not communicated, and what concerns exist with current policies and practices, they can begin to identify specific changes they want to make. Worksheet 2 is designed to help the Subcommittees, Steering Committee, and others think generally about the changes to be made in the areas of Determining the Presence and Immediacy of a Child Welfare or Alcohol and Drug Issue, Determining the Nature and Extent of the Issue, and Developing and Monitoring Treatment and Case Plans.

As the Steering Committee gets ready to consider and propose changes, it is helpful for members to review the statements of their mission, principles, and values that they developed, to be sure they continue to be the framework that guides decisions and activities.

Using Worksheet 2, Subcommittee or Steering Committee members should—

- Revisit the list of concerns with current problems included in Worksheet 1;
- Identify the desired goals and outcomes for each issue or concern;
- Consider implications of the desired changes; and
- Start to develop action steps.

At this stage, the analysis should address general implications and action steps and not become distracted by the many details that will arise when implementation starts. The plan of action, described below, will address all facets of implementation.

A sample of a completed Worksheet 2 follows this page.

WORKSHEET 2—WHERE DO WE WANT TO GO FROM HERE? <i>SAMPLE</i>										
Identified Issues with Current Policies and Practice		Desired Changes	Implications of Changes						Action Steps	
What issues did we raise in the working session using Worksheet 1 regarding current policies and practice?		As a collaborative, where do we want to be? What do we want our SAFERR policies/practices to be?	Family Involvement	Community Partners	Training/ Staff Development	Information Systems	Budget/Funding	Agency Policies	Legislation	How does the collaborative get to where it wants to be? What tasks do collaborative members need to complete to get us there?
<p><b>Presence And Immediacy</b></p> <p><b>Alcohol and Drug Services System</b></p>	<p>Statewide there is no structured way of identifying children’s issues; agencies have their own training programs and ways of identifying (or not) children’s issues</p> <p>No structured training on mandated reporting laws; no information given when the law changes</p>	<p>Statewide guidelines for ADS providers to ask questions about participants’ children; training for ADS providers on guidelines</p> <p>Online resource guide on services for children from families with SUDs</p> <p>Protocols for information sharing with CWS and the court</p>		X	X	X	X	X		<ul style="list-style-type: none"> <li>• Develop guidelines and training curriculum</li> <li>• Develop online resource guide</li> <li>• Develop protocols for information sharing among ADS, CWS and the court</li> </ul>

WORKSHEET 2—WHERE DO WE WANT TO GO FROM HERE? <i>SAMPLE</i>										
Identified Issues with Current Policies and Practice		Desired Changes	Implications of Changes						Action Steps	
What issues did we raise in the working session using Worksheet 1 regarding current policies and practice?		As a collaborative, where do we want to be? What do we want our SAFERR policies/practices to be?	Family Involvement	Community Partners	Training/ Staff Development	Information Systems	Budget/Funding	Agency Policies	Legislation	How does the collaborative get to where it wants to be? What tasks do collaborative members need to complete to get us there?
<b>Child Welfare Services System</b>	CWS workers do not have adequate training in identifying and screening for alcohol and drug issues	Trained CWS staff in identifying and screening for alcohol and drug issues; pilot colocation of ADS worker in CWS office								<ul style="list-style-type: none"> <li>• Develop guidelines and training curriculum</li> <li>• Conduct meeting with CWS and ADS administrators to determine where colocation pilot should take place; set up colocation pilot</li> <li>• Develop a Screen Out policy</li> <li>• Conduct research and select the screening tool to be used statewide</li> <li>• Develop referral followup guidelines</li> <li>• Develop protocols for information sharing among ADS, CWS and the court</li> </ul>
	No standard for screening families	Screen Out policy; all families to be screened for alcohol and drug issues using a standard screening tool								
	Over referral by some CWS workers and under referral by other workers; based on individual knowledge of SUDs	Standard screening tool used by all publicly funded treatment providers in the State		X	X	X	X	X		
	Release of information form and history are not always being sent to the provider	Protocols for information sharing with ADS and the court								
	When CWS worker refers to the ADS treatment provider, there is no follow up; individuals are not making it to treatment and no one is going after them to	Policy and procedure guidelines about follow up on referrals								

WORKSHEET 2—WHERE DO WE WANT TO GO FROM HERE? <i>SAMPLE</i>										
Identified Issues with Current Policies and Practice		Desired Changes	Implications of Changes						Action Steps	
What issues did we raise in the working session using Worksheet 1 regarding current policies and practice?		As a collaborative, where do we want to be? What do we want our SAFERR policies/practices to be?	Family Involvement	Community Partners	Training/ Staff Development	Information Systems	Budget/Funding	Agency Policies	Legislation	How does the collaborative get to where it wants to be? What tasks do collaborative members need to complete to get us there?
<b>Dependency Court</b>	<p>Case specific; no systemic policy/procedure around CWS informing court of alcohol and drug issue</p> <p>Issue of judges misunderstanding or having a lack of knowledge around alcohol and drug issues; when and what type of testing is appropriate; same problem with attorneys and other judicial staff</p>	<p>Trained judges, attorneys and other judicial staff on alcohol and drug issues and issues of children from families with SUDs</p> <p>Standards for inquiry by judges into whether or not families have been screened for SUDs and issues specific to children from families with SUDs; require screens when they have not been conducted</p>		X	X	X	X	X		<ul style="list-style-type: none"> <li>• Develop training for judges, attorneys, and other judicial staff</li> <li>• Develop standards of inquiry and court ordering of screens for families</li> </ul>

## **Step Five: Develop and Implement a Plan of Action**

By now, the Steering Committee has worked through a brainstorm list of all possible ideas and strategies, developed a set of values and principles to guide its work, identified current systems and operations and the problems with the current situation, and developed a list of desired changes. These changes should now be incorporated into a plan of action that focuses on implementation details, specific action steps, tasks, and timelines.

### ***Task 1: Develop a "Visual" of Team Progress to Date***

The visual representation of work done in preparation for the plan of action can be used as the first page in the plan and will remind everyone involved of the project's mission, principles, and priorities. It is also a simple, clear record of work accomplished. A sample visual representation follows this page.

### ***Task 2: Develop the Products and Action Steps for the Plan of Action***

The plan of action is an extremely important written product of the initiative. It becomes the roadmap or blueprint for the Oversight and Steering Committees and Subcommittees. It serves as the standard against which work of all three groups will be monitored and evaluated. The plan of action should clearly specify the following:

- Major activities to be undertaken;
- Products to be developed;
- Tasks required to complete activities and produce products;
- System and individuals responsible for completing each task; and
- Timelines for completion.

A hypothetical plan of action, **ADS, CWS, and Dependency Court SAFERR Collaborative Plan of Action: Determining Presence and Immediacy**, based on the information included in sample Worksheets 1 and 2, follows the visual representation. Please note that this example is not necessarily a complete or accurate plan for the activities noted. Each Steering Committee or Subcommittee should define its own action steps, tasks, and timelines. The sample is simply an illustration of the concept of a detailed plan of action.

## SAFERR Model for Determining Presence and Immediacy

**Mission:** To improve screening, assessment, engagement and monitoring for families involved in the CWS system and dependency courts who are affected by substance use disorders

### Guiding Principles:

In making decisions regarding child and family well being, practitioners from all systems should consider the possibility that substance abuse is a problem and adopt a “screen out stance” with regard to substance abuse  
Regardless of which system (ADS, CWS or dependency court) the family enters and what the presenting problem is, practitioners should systematically inquire about potential involvement with the other systems

### Desired Changes

#### ADS System

Statewide guidelines for treatment providers to ask questions about participants’ children; training for treatment providers on guidelines

On-line resource guide on services for children from families with SUDs

Policy and procedure guidelines around information sharing with CWS and the court

#### CWS System

Trained CWS staff in identifying and screening for alcohol and drug issues; pilot co-location of ADS worker in CWS office

“Screen Out” policy; all families to be screened for alcohol and drug issues using a standard screening tool

Standard screen tool used by all publicly funded treatment providers in the State

Policy and procedure guidelines around information sharing with ADS and the court

Policy and procedure guidelines about follow up on referrals

#### Dependency Court

Trained judges, attorneys and other judicial staff on alcohol and drug issues and issues of children from families with SUDs

Standards for inquiry by judges into whether or not families have been screened for SUDs and issues specific to children from families with SUDs; require screens when they have not been conducted

### Collaborative Action Steps

- Develop guidelines and training curriculum for ADS providers
- Develop on-line resource guide for services to children from families with SUDs
- Develop policy and procedure around information sharing among ADS, CWS, and the dependency court
- Develop guidelines and training curriculum for CWS providers
- Develop a pilot to co-locate ADS staff in a CWS office
- Develop a “Screen Out” policy
- Conduct research and select a screening tool to use Statewide
- Develop referral follow up protocols
- Develop training for judges, attorneys, and other judicial staff
- Develop standards of inquiry and court ordering for screens for families

**ADS, CWS and Dependency Court SAFERR Collaborative Plan of Action**  
**Determining Presence and Immediacy** *SAMPLE*

<b>Goals</b>	<b>Action Steps/Tasks</b>	<b>System/Individuals Responsible</b>	<b>Timeline for Completion</b>
<b>Goal 1—Develop statewide guidelines for ADS providers to ask questions about children</b>	1.1 Convene workgroup on statewide guidelines and training for ADS providers	Representatives of ADS, CWS, dependency court, and any other agencies as deemed appropriate	10/10/06
	Research guidelines from other jurisdictions		12/16/05
	Draft guidelines		1/16/07
	1.2 Steering Committee to review guidelines	Steering Committee	1/30/07
	1.3 Workgroup to edit guidelines based on Steering Committee feedback	Workgroup	2/13/07
	1.4 Elicit input from CWS and ADS providers	Workgroup	3/10/07
	1.5 Workgroup to edit guidelines based on provider input	Workgroup	3/24/07
	1.6 Steering Committee to approve guidelines	Steering Committee	3/31/07
	1.7 Implement guidelines	Administrators and staff of ADS providers	On-going
<b>Goal 2—Implement Training for ADS providers on statewide guidelines</b>	2.1 Convene workgroup on guidelines and training for ADS providers	Representatives of ADS, CWS, dependency court and any other agencies as deemed appropriate	10/10/06
	Research training curriculum		12/16/06
	Select or draft curriculum		1/16/06
	Draft training plan		1/16/07
	2.2 Steering Committee to review training curriculum and plan	Steering Committee	1/30/07
	2.3 Workgroup to edit curriculum and plan based on Steering Committee feedback	Workgroup	2/13/07
	2.4 Elicit input from CWS and ADS providers	Workgroup	3/10/07
	2.5 Workgroup to edit training curriculum and plan based on provider input	Workgroup	3/24/07
	2.6 Steering Committee to approve training curriculum and plan	Steering Committee	3/31/06
	2.7 Train ADS providers	Identified Trainers	On-going

<b>Goal 3—Develop online resource guide on services for children from families with SUDs</b>	3.1 Convene workgroup to develop online resource guide	Representatives of ADS, CWS, dependency court, and any other agencies as deemed appropriate	10/10/06
	Conduct research on local, State and national resources		12/16/06
	Identify Web location for resource guide		12/16/06
	Identify Webmaster		12/16/06
	Draft resource guide		1/16/07
	3.2 Steering Committee to review resource guide	Steering Committee	1/30/07
	3.3 Workgroup to make edits/additions based on Steering Committee feedback	Workgroup	2/13/07
	3.4 Create online format	Webmaster	2/28/07
	3.5 Post online resource guide	Webmaster	2/28/07
<b>Goal 4—Establish protocols for information sharing among ADS, CWS, and the dependency court</b>	4.1 Convene workgroup to develop guidelines for information sharing	Representatives of ADS, CWS, dependency court, and any other agencies deemed appropriate	10/10/06
	Review current practice of information sharing		12/16/06
	Review current information management systems		12/16/06
	Draft protocols for information sharing		2/21/07
	4.2 Steering Committee to review and approve protocol	Steering Committee	2/28/07
	4.3 Implement protocol	Administrators and staff of ADS, CWS, and dependency court	On-going
<b>Goal 5—Implement training for CWS Workers in identifying and screening for SUDs</b>	5.1 Convene workgroup on training for CWS workers and development of colocation pilot	Representatives of ADS, CWS, dependency court, and any other agencies as deemed appropriate	10/10/06
	Research training curriculum		12/16/06
	Select or draft curriculum		1/16/07
	Draft training plan		1/16/07
	5.2 Steering Committee to review training curriculum and plan	Steering Committee	1/30/07
	5.3 Workgroup to edit curriculum and plan based on Steering Committee feedback	Workgroup	2/13/07
	5.4 Elicit input from CWS and ADS providers	Workgroup	3/10/07
	5.5 Workgroup to edit training curriculum and plan based on provider input	Workgroup	3/24/07
	5.6 Steering Committee to approve training curriculum and plan	Steering Committee	3/31/07
	5.7 Train CWS workers	Identified Trainers	On-going

<b>Goal 6—Pilot colocation of ADS Workers in a CWS Office</b>	6.1 Convene workgroup on Training for CWS workers and development of colocation pilot	Representatives of ADS, CWS, dependency court, and any other agencies deemed appropriate	10/10/06
	Research colocation models in other jurisdictions		1/20/07
	Explore interest among CWS offices		4/28/07
	Develop policies and procedures for pilot		4/28/07
	6.2 Steering Committee to review plan for pilot	Steering Committee	5/19/07
	6.3 Steering Committee to select CWS office for pilot	Steering Committee	5/19/07
	6.4 Final touches to plan for pilot	Workgroup	5/26/07
	6.5 Implement pilot	CWS and ADS administrators and staff	6/1/07
	6.6 Review success of pilot to date	Steering Committee	12/15/07
	6.7 Review success of pilot and determine whether going to scale with colocation	Steering Committee	5/31/08
<b>Goal 7—Create a Screen Out Policy Statement</b>	7.1 Convene workgroup to develop Screen Out Policy and develop/select standard screening tool	Representatives of ADS, CWS, dependency court, and any other agencies deemed appropriate	10/10/06
	Research policies in other jurisdictions		1/30/07
	Draft Screen Out policy statement		2/21/07
	7.2 Steering Committee to review Screen Out policy	Steering Committee	2/28/07
	7.3 Workgroup to edit policy based on Steering Committee feedback	Workgroup	3/24/07
	7.4 Steering Committee to approve policy	Steering Committee	3/31/07
	7.5 Implement policy	CWS administrators and staff	On-going

<b>Goal 8—Implement Use of a Standard SUD screening tool by CWS Workers</b>	8.1 Convene workgroup to develop Screen Out Policy and develop/select standard screening tool	Representatives of ADS, CWS, dependency court, and any other agencies deemed appropriate	10/10/06
	Research screening tools		1/30/07
	Select existing tool to use or draft new tool		2/21/07
	8.2 Steering Committee to review screening tool	Steering Committee	2/28/07
	8.3 Workgroup to edit screening tool based on Steering Committee feedback	Workgroup	3/24/07
	8.4 Elicit input from CWS and ADS providers	Workgroup	4/21/07
	8.5 Workgroup to edit screening tool based on provider input	Workgroup	5/5/07
	8.6 Steering Committee to approve screening tool	Steering Committee	5/19/07
	8.7 Implement use of tool	CWS administrators and staff	On-going
<b>Goal 9—Establish guidelines for referral followup</b>	9.1 Convene workgroup to develop guidelines for referral followup	Representatives of ADS, CWS, dependency court, and any other agencies deemed appropriate	10/10/06
	Develop plan for referral followup		2/21/07
	9.2 Steering Committee to review and approve guidelines for referral followup	Steering Committee	2/28/07
	9.3 Implement guidelines for referral followup	Administrators and staff	On-going
<b>Goal 10—Implement training for judges, attorneys and Other judicial staff on SUDs and children’s issues</b>	10.1 Convene workgroup to develop training and standards for judges, attorneys, and other judicial staff	Representatives of ADS, CWS, dependency court, and any other agencies deemed appropriate	10/10/06
	Research judicial training in other jurisdictions		1/20/07
	Conduct meeting with the Office of the Court Administrator and the State Bar Association to establish their buy in		1/27/2006
	Select or draft curriculum		4/28/07
	Draft training plan		4/28/07
	10.2 Steering Committee to review training curriculum and plan	Steering Committee	5/19/07
	10.3 Workgroup to edit curriculum and plan based on Steering Committee feedback	Workgroup	6/2/07
	10.4 Elicit input from the Office of the Court Administrator and the State Bar Association	Workgroup	6/30/07
	10.5 Workgroup to edit standards based on input from the Office of the Court Administrator and the State Bar Association	Workgroup	7/14/07
	10.6 Steering Committee to approve training curriculum	Steering Committee	7/21/07
	10.7 Train judges, attorneys, and other judicial staff	Identified Trainers	On-going

<b>Goal 11—Implement Standards for inquiry by judges into screening for families</b>	11.1 Convene workgroup to develop training and standards for judges, attorneys, and other judicial staff	Representatives of ADS, CWS, dependency court, and any other agencies deemed appropriate	10/10/06
	Research standards in other jurisdictions		1/20/07
	Conduct meeting with the Office of the Court Administrator and the State Bar Association to establish their buy in		1/27/07
	Select or draft standards		4/28/07
	11.2 Steering Committee to review standards	Steering Committee	5/19/07
	11.3 Workgroup to edit standards based on Steering Committee feedback	Workgroup	6/2/07
	11.4 Elicit input from the Office of the Court Administrator and the State Bar Association	Workgroup	6/30/07
	11.5 Workgroup to edit standards based on input from the Office of the Court Administrator and the State Bar Association	Workgroup	7/14/07
	11.6 Steering Committee to approve training curriculum	Steering Committee	7/21/07
11.7 Train judges, attorneys, and other judicial staff	Identified Trainers	On-going	
<b>Goal 12—Implement standards for judges to order screenings when they have not taken place</b>	12.1 Convene workgroup to develop training and standards for judges, attorneys, and other judicial staff	Representatives of ADS, CWS, dependency court, and any other agencies deemed appropriate	10/15/06
	Research standards in other jurisdictions		1/20/07
	Conduct meeting with the Office of the Court Administrator and the State Bar Association to establish their buy in		1/27/07
	Select or draft standards		4/28/07
	12.2 Steering Committee to review standards	Steering Committee	5/19/07
	12.3 Workgroup to edit standards based on Steering Committee feedback	Workgroup	6/2/07
	12.4 Elicit input from the Office of the Court Administrator and the State Bar Association	Workgroup	6/30/07
	12.5 Workgroup to edit standards based on input from the Office of the Court Administrator and the State Bar Association	Workgroup	7/14/07
	12.6 Steering Committee to approve training curriculum	Steering Committee	7/21/07
12.7 Train judges, attorneys, and other judicial staff	Identified Trainers	On-going	

### ***Task 3: Develop a Communication Protocol***

Systems interact with each other constantly and through a variety of mechanisms. Nonetheless, communication breakdowns, misunderstandings, and gaps are common experiences for agency staff and families alike. Effective communication is the ingredient common to values, principles, trust, and action. As noted throughout this guidebook, the key to quality services is not the tools that are used, but how information from tools and other sources is shared. The clearest test of interagency consensus is whether it works to communicate the status of both parents and their children because both are affected by abuse, neglect, and substance use disorders. Steering Committee and Subcommittee members need to identify key points in all systems where effective communication can and must take place, and they need to develop clear administrative policies and protocols for the proper exchange of confidential information.

The **Pathways of Communication Templates** on the following pages are designed to help staff move beyond preliminary discussions about communication and toward developing a communication protocol. They are intended to be suggestions, and each community will need to adapt the specific information to its own systems and procedures.

The page immediately following this page is the Overview template. It proposes a model for communication across the systems as a whole. The subsequent three pages provide breakout versions of the Overview template, depicting critical junctures of decisionmaking and detailed information that are examples of information that may be needed to be communicated across systems. They are **Pathways of Communication Templates for Determining Presence and Immediacy of an Issue, for Determining the Nature and Extent of the Issue, and for Treatment and Case Plans, Monitoring Change, Transitions, and Outcomes.**

The activities that occur within system are listed in the darker colored columns. The bridges between the systems are represented by the three lighter colored columns.

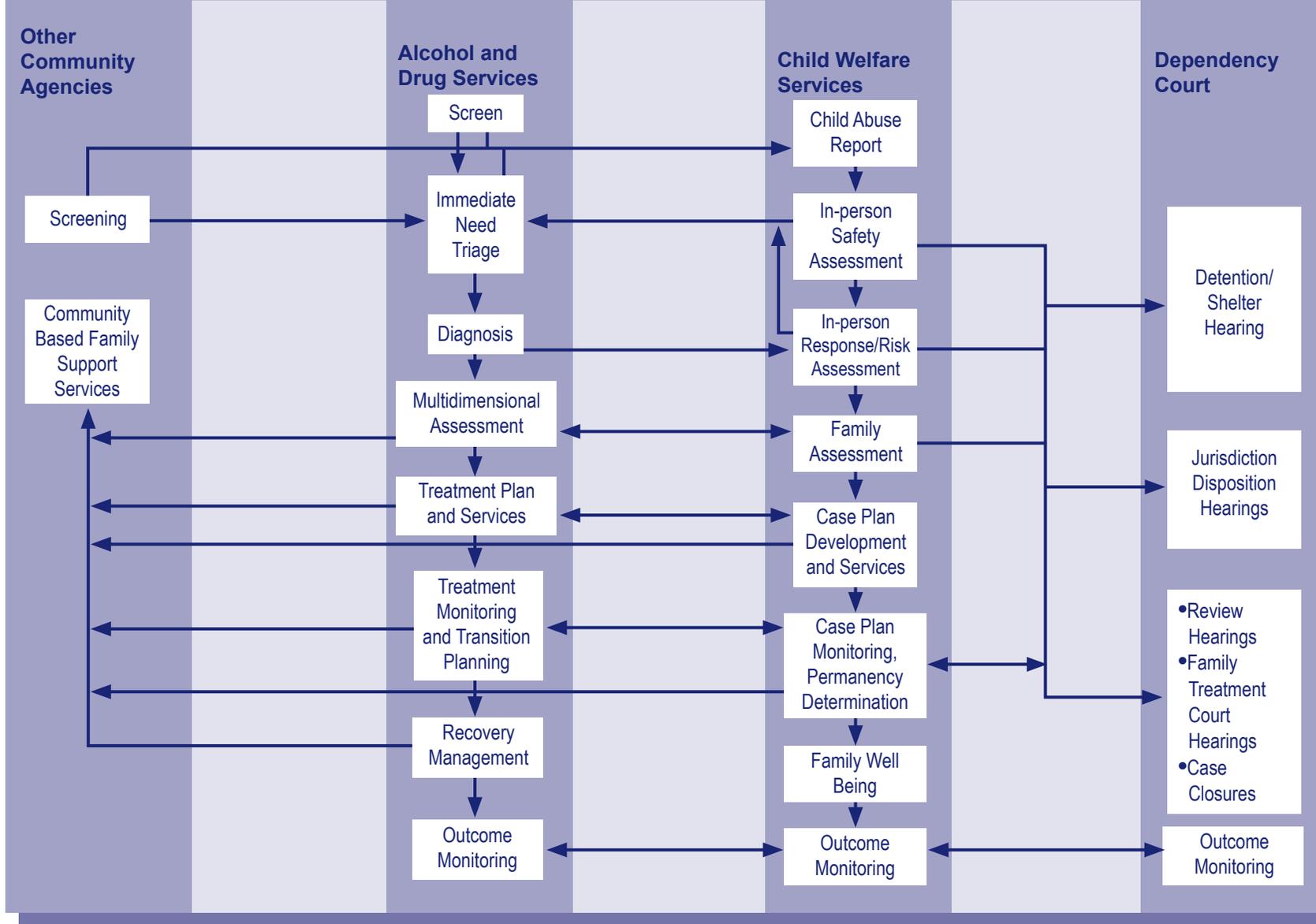
The Subcommittee or Steering Committee should consider each of these communication points and should adapt them to meet State or local needs. The templates provide a mechanism for staff to understand what activities each system is responsible for undertaking. Once these activities are understood, staff can determine who needs to know what, and when. Staff can then create policies and protocols to share information with family members and among staff.

The goal of communication should derive from serving the whole family and should reduce administrative burden on workers. Each of the communication bridges should be clearly defined, and the content of the information to be exchanged across bridges must be specified.

# Pathways of Communication Template

## Identification Through Community or Family Awareness of Signs, Symptoms and Behaviors

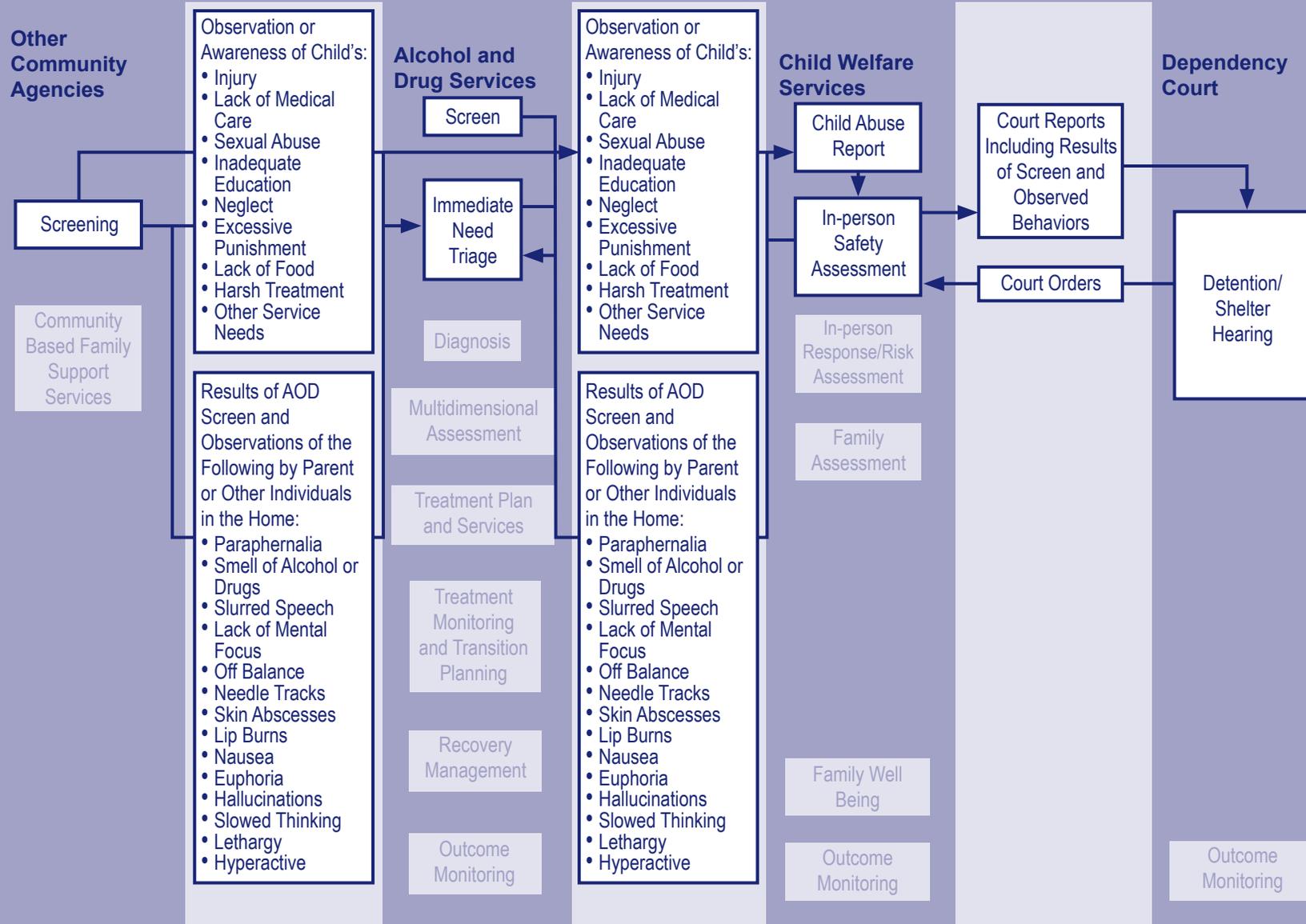
### Family and Extended Family Members



# Pathways of Communication Template for Determining Presence and Immediacy of an Issue

## Identification Through Community or Family Awareness of Signs, Symptoms and Behaviors

### Family and Extended Family Members



# Pathways of Communication Template for Determining Presence and Immediacy of an Issue

## Identification Through Community or Family Awareness of Signs, Symptoms and Behaviors

### Family and Extended Family Members

**Other  
Community  
Agencies**

Screening

Community  
Based Family  
Support  
Services

Referral for  
Community Support  
Services

**Alcohol and  
Drug Services**

Screen

Immediate  
Need  
Triage

Diagnosis

Multidimensional  
Assessment

Treatment Plan  
and Services

Treatment  
Monitoring  
and Transition  
Planning

Recovery  
Management

Outcome  
Monitoring

- Diagnostic Information
- Differentiation of Substance Use, Abuse, Dependence
- Patterns of Substance Use and History
- Frequency of Use
- Impact of Drug Toxicity
- How Does Alcohol/Drug Use Effect Parent (e.g. blackouts)
- Level of Impairment in Ability to Parent
- Extended Family, Family Strengths, Connections to Community and Resources
- Employment/Education Status
- Parent's Trauma History
- Assessment of Motivation and Engagement Level
- Child Risk Factors Evident During Use
- Parent's Perception of Relationship Between Substance Abuse/Dependency and their Ability to Parent
- Other Family Events (e.g. marriage, death, move, etc.)
- Does Inter-State Compact Apply?
- Treatment Recommendation:  
Length of Treatment  
Level of Care  
Child Visitation Issues  
Additional Service Needs

- Treatment Plan
- Activities and Objectives
- Required Drug Testing
- Number Required and Type of Sessions

- Nature and Precipitating Incidents
- Results of Operations and Screens
- Court Orders
- Criminal and Civil Court History
- Prior Child Abuse/Neglect Cases
- Use by Others in the Home
- Past or Present History of Violence
- Was Parent a CWS Dependent
- History of Mental Illness
- Is ICWA Applicable
- CWS Drug Testing Requirements
- Court Orders
- Parent' Perception of Issue
- Extended Family, Family Strengths, Connections to Community and Resources
- Assessment of How Children are Doing
- Results of Alternative Dispute Resolution

**Child Welfare  
Services**

Child Abuse  
Report

In-person  
Safety  
Assessment

In-person  
Response/Risk  
Assessment

Family  
Assessment

Case Plan  
Development  
and Services

Case Plan  
Monitoring,  
Permanency  
Determination

Family Well  
Being

Outcome  
Monitoring

**Dependency  
Court**

Court Reports  
Including  
Diagnosis and  
Treatment  
Recommendation  
and Level of Care  
Determination

Court Orders

Detention/  
Shelter  
Hearing

Jurisdiction  
Disposition  
Hearings

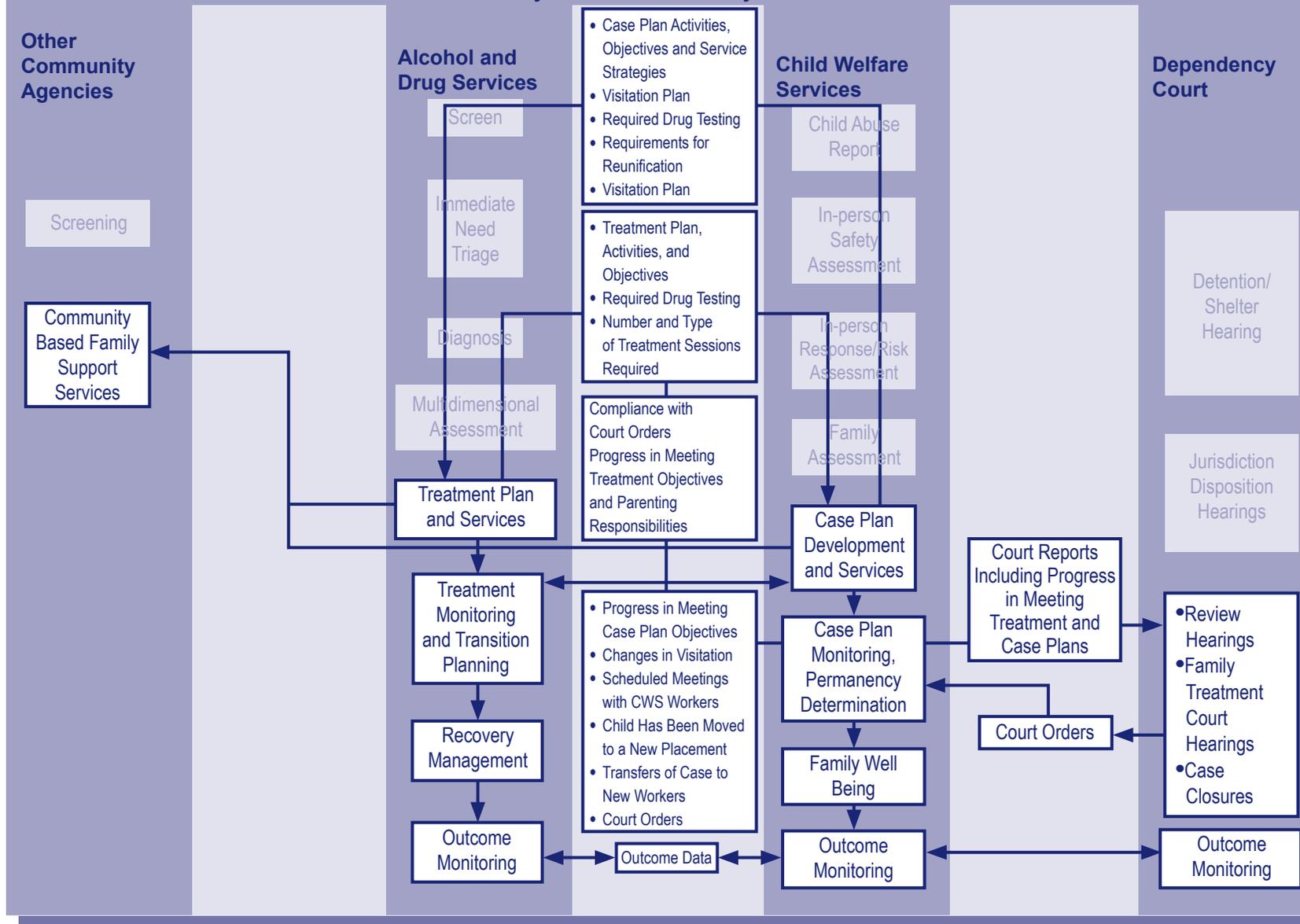
- Review Hearings
- Family Treatment Court Hearings
- Case Closures

Outcome  
Monitoring

# Pathways of Communication Template for Determining Presence and Immediacy of an Issue

## Identification Through Community or Family Awareness of Signs, Symptoms and Behaviors

### Family and Extended Family Members



## **Step Six: Monitoring and Evaluating Success**

The Oversight Committee should charge the Steering Committee with monitoring collaborative efforts. Monitoring is about accountability, and accountability is the difference between an effective collaborative and just another meeting. While Monitoring Success is noted here as Step Six, it really needs to be planned from the beginning of the collaborative effort and included as an ongoing component of the work.

The monitoring process has two focal points:

- Evaluating the collaborative process; and
- Evaluating the benefit to families.

Information collected on both points should continually feed back into the work of the Oversight and Steering Committees and Subcommittees, so that both process and products can be modified based on this information.

### ***Evaluating the Collaborative Effort***

The Steering Committee should continually examine itself and the Subcommittees and should closely monitor progress in implementing activities specified in the plan of action. In order to have a foundation for evaluating how far the collaborative has come, it is useful to gather some baseline information. If the various Committees complete the *Collaborative Values Index* and the *Collaborative Capacity Inventory* early on in their work, as described earlier in this section, they can repeat those self-assessments periodically to ascertain whether there have been changes in perceptions about ability to collaborate.

Although it is important to monitor process, it is also important to monitor completion of work. Regular review of progress toward completed activities is essential to keeping the Committees on task, adjusting deliverables as needed, and reporting to the Oversight or Steering Committee and other stakeholders. An example of a Progress Report template, **Determining Presence and Immediacy**, based on the sample plan of action presented earlier, follows on the next page.

Conducting evaluations on an annual or semiannual basis is also beneficial because it allows for a more detailed review of the collaborative process. An example of an evaluation report format based on the sample plan of action follows the Progress Report template.

**ADS, CWS, and Dependency Court SAFERR Collaborative  
Progress Report  
Determining Presence and Immediacy**

*SAMPLE*

Activity/Tasks	Progress Report	Problem/Barriers	Product Modification	Next Steps
<b>Statewide guidelines for ADS providers to ask questions about children</b>				
<b>Training for ADS providers on guidelines</b>				
<b>Online resource guide on services for children from families with SUDs</b>				
<b>Protocols for information sharing among ADS, CWS and the dependency court</b>				
<b>Training for CWS workers in identifying and screening for SUDs</b>				
<b>Pilot colocation of ADS workers in a CWS office</b>				

<b>Activity/Tasks</b>	<b>Progress Report</b>	<b>Problem/Barriers</b>	<b>Product Modification</b>	<b>Next Steps</b>
<b>Screen Out policy statement</b>				
<b>Standard SUD screening tool to be used by CWS workers</b>				
<b>Guidelines for referral followup</b>				
<b>Training for judges, attorneys, and other judicial staff on SUDs and children's issues</b>				
<b>Standards for inquiry by judges into screening for families</b>				
<b>Standards for judges to order screenings when they have not taken place</b>				

**ADS, CWS, and Dependency Court SAFERR Collaborative  
Midyear Evaluation  
Determining Presence and Immediacy**

*SAMPLE*

Deliverable	Due Date	Percent Complete	Revised Due Date
<b>Statewide Guidelines for ADS Providers to Ask Questions About Children</b>	<b>3/31/07</b>		
Convene workgroup on guidelines and training for ADS providers	10/10/06		
Research guidelines from other jurisdictions	12/16/06		
Draft guidelines	1/16/07		
Steering Committee to review guidelines	1/30/07		
Workgroup to edit guidelines based on Steering Committee feedback	2/13/07		
Elicit input from CWS and ADS providers	3/10/07		
Workgroup to edit guidelines based on provider input	3/24/07		
Steering Committee to approve guidelines	3/31/07		
Implement guidelines	Ongoing		
<b>Training for ADS providers on Guidelines</b>	<b>3/31/07</b>		
Convene workgroup on guidelines and training for ADS providers	10/10/06		
Research training curriculum	12/16/06		
Select or draft curriculum	1/16/07		
Draft training plan	1/16/07		
Steering Committee to review training curriculum and plan	1/30/07		
Workgroup to edit curriculum and plan based on Steering Committee feedback	3/10/07		
Elicit input from CWS and ADS providers	2/13/07		
Workgroup to edit training curriculum and plan based on provider input	3/24/07		
Steering Committee to approve training curriculum and plan	3/31/07		
Train ADS providers	Ongoing		

<b>On-line Resource Guide on Services for Children from Families with SUDs</b>	<b>2/28/07</b>		
Convene workgroup to develop online resource guide	10/10/06		
Conduct research on local, State, and national resources	12/16/06		
Identify web location for resource guide	12/16/06		
Identify Webmaster	12/16/06		
Draft Resource Guide	1/16/07		
Steering Committee to review resource guide	1/30/07		
Workgroup to make edits/additions based on Steering Committee feedback	2/13/07		
Create on-line format	2/28/07		
Post online resource guide	2/28/07		
<b>Protocols for Information Sharing Among ADS, CWS and the Dependency Court</b>	<b>2/28/07</b>		
Convene workgroup to develop guidelines for information sharing	10/10/06		
Review current practice of information sharing	12/16/06		
Review current information management systems	12/16/06		
Draft protocols for information sharing	2/21/07		
Steering Committee to review and approve protocol	2/28/07		
Implement protocol	Ongoing		
<b>Training for CWS Workers in Identifying and Screening for SUDs</b>	<b>3/31/07</b>		
Convene workgroup on Training for CWS workers	10/10/06		
Research training curriculum	12/16/06		
Select or draft curriculum	1/16/07		
Draft training plan	1/16/07		
Steering Committee to review training curriculum and plan	1/30/07		
Workgroup to edit curriculum and plan based on Steering Committee feedback	2/13/07		
Elicit input from CWS and ADS providers	3/10/07		
Workgroup to edit training curriculum and plan based on provider input	3/24/07		
Steering Committee to approve training curriculum and plan	3/31/07		
Convene workgroup on Training for CWS workers	Ongoing		

<b>Pilot Colocation of ADS Workers in a CWS Office</b>	<b>6/1/07</b>		
Convene workgroup on training for CWS workers and development of colocation pilot	1/20/07		
Research colocation models in other jurisdictions	4/28/07		
Explore interest among CWS offices	4/28/07		
Develop policies and procedures for pilot	5/19/07		
Steering Committee to review plan for pilot	5/19/07		
Steering Committee to select CWS office for pilot	5/19/07		
Final touches to plan for pilot	5/26/07		
Implement pilot	6/1/07		
Review success of pilot to date	12/15/07		
Review success of pilot and determine if going to scale with colocation	5/31/08		
<b>Screen Out Policy Statement</b>	<b>3/31/07</b>		
Convene workgroup to develop Screen Out policy and develop/select standard screening tool	10/10/06		
Research policies in other jurisdictions	1/30/07		
Draft Screen Out policy statement	2/21/07		
Steering Committee to review Screen Out policy	2/28/07		
Workgroup to edit policy based on Steering Committee feedback	3/24/07		
Steering Committee to approve policy	3/31/07		
Implement policy	Ongoing		
<b>Standard SUD Screening Tool to be Used by CWS Workers</b>	<b>5/19/07</b>		
Convene workgroup to develop Screen Out Policy and develop/select standard screening tool	10/10/06		
Research screening tools	1/30/07		
Select existing tool to use or draft new tool	2/21/07		
Steering Committee to review screening tool	2/28/07		
Workgroup to edit screening tool based on Steering Committee feedback	3/24/07		
Elicit input from CWS and ADS providers	4/21/07		
Workgroup to edit screening tool based on provider input	5/5/07		
Steering Committee to approve screening tool	5/19/07		
Implement use of tool	Ongoing		

<b>Guidelines for Referral Follow Up</b>	<b>2/28/07</b>		
Convene workgroup to develop guidelines for referral followup	10/10/06		
Develop plan for referral follow up	2/21/07		
Steering Committee to review and approve guidelines for referral followup	2/28/2006		
Implement guidelines for referral follow up	Ongoing		
<b>Training for Judges, Attorneys, and Other Judicial Staff on SUDs and Children's Issues</b>	<b>7/21/07</b>		
Convene workgroup to develop training and standards for judges, attorneys, and other judicial staff	10/10/06		
Research judicial training in other jurisdictions	1/20/07		
Conduct meeting with Office of the Court Administrator and the State Bar Association to establish their buy in	1/27/07		
Select or draft curriculum	4/28/07		
Draft training plan	4/28/07		
Steering Committee to review training curriculum and plan	5/19/07		
Workgroup to edit curriculum and plan based on Steering Committee feedback	6/2/07		
Elicit input from the Office of the Court Administrator and the State Bar Association	6/30/07		
Workgroup to edit standards based on input from the Office of the Court Administrator and the State Bar Association	7/14/07		
Steering Committee to approve training curriculum	7/21/07		
Train judges, attorneys, and other judicial staff	Ongoing		
<b>Standards for Inquiry by Judges into Screening for Families</b>	<b>7/21/07</b>		
Convene workgroup to develop training and standards for judges, attorneys, and other judicial staff	10/10/06		
Research standards in other jurisdictions	1/20/07		
Conduct meeting with the Office of the Court Administrator and the State Bar Association to establish their buy in	1/27/07		
Select or draft standards	4/28/07		
Steering Committee to review standards	5/19/07		
Workgroup to edit standards based on Steering Committee feedback	6/2/07		

Elicit input from the Office of the Court Administrator and State Bar Association	6/30/07		
Workgroup to edit standards based on input from the Office of the Court Administrator and the State Bar Association	7/14/07		
Steering Committee to approve training curriculum	7/21/07		
Train judges, attorneys, and other judicial staff	Ongoing		
<b>Standards for Judges to Order Screenings When They Have Not Taken Place</b>	<b>7/21/07</b>		
Convene workgroup to develop training and standards for judges, attorneys, and other judicial staff	10/15/06		
Research standards in other jurisdictions	1/20/07		
Conduct meeting with the Office of the Court Administrator and the State Bar Association to establish their buy in	1/27/07		
Select or draft standards	4/28/07		
Steering Committee to review standards	5/19/07		
Workgroup to edit standards based on Steering Committee feedback	6/2/07		
Elicit input from the Office of the Court Administrator and the State Bar Association	6/30/07		
Workgroup to edit standards based on input from Office of the Court Administrator and State Bar Association	7/14/07		
Steering Committee to approve training curriculum	7/21/07		
Train judges, attorneys, and other judicial staff	Ongoing		

**Reasons why a deadline was not been met:**

**Changes in product deliverables:**

**Key accomplishments achieved:**

**Barriers encountered in the collaborative relationships:**

**Resources developed or discovered for collaborative work:**

**Fiscal and non-fiscal challenges anticipated in the future:**

## ***Evaluating the Benefit to Families***

In developing the plan to evaluate the benefit to families, the Oversight and Steering Committees should explore existing data systems and determine what information about critical evaluation criteria or performance measures can be easily obtained. The Steering Committee or a Subcommittee should look at how data from different systems can be used to help all agencies understand the benefits to families they serve in common.

Federal data will likely be a useful resource for evaluating changes in families. In addition to other Federal data sources, the Steering Committee should review how its State scored on the Child and Family Services Review outcomes assessed by the Federal team in its most recent review. The Steering Committee should try to use those outcomes and the State's Program Improvement Plan to inform this collaborative initiative.

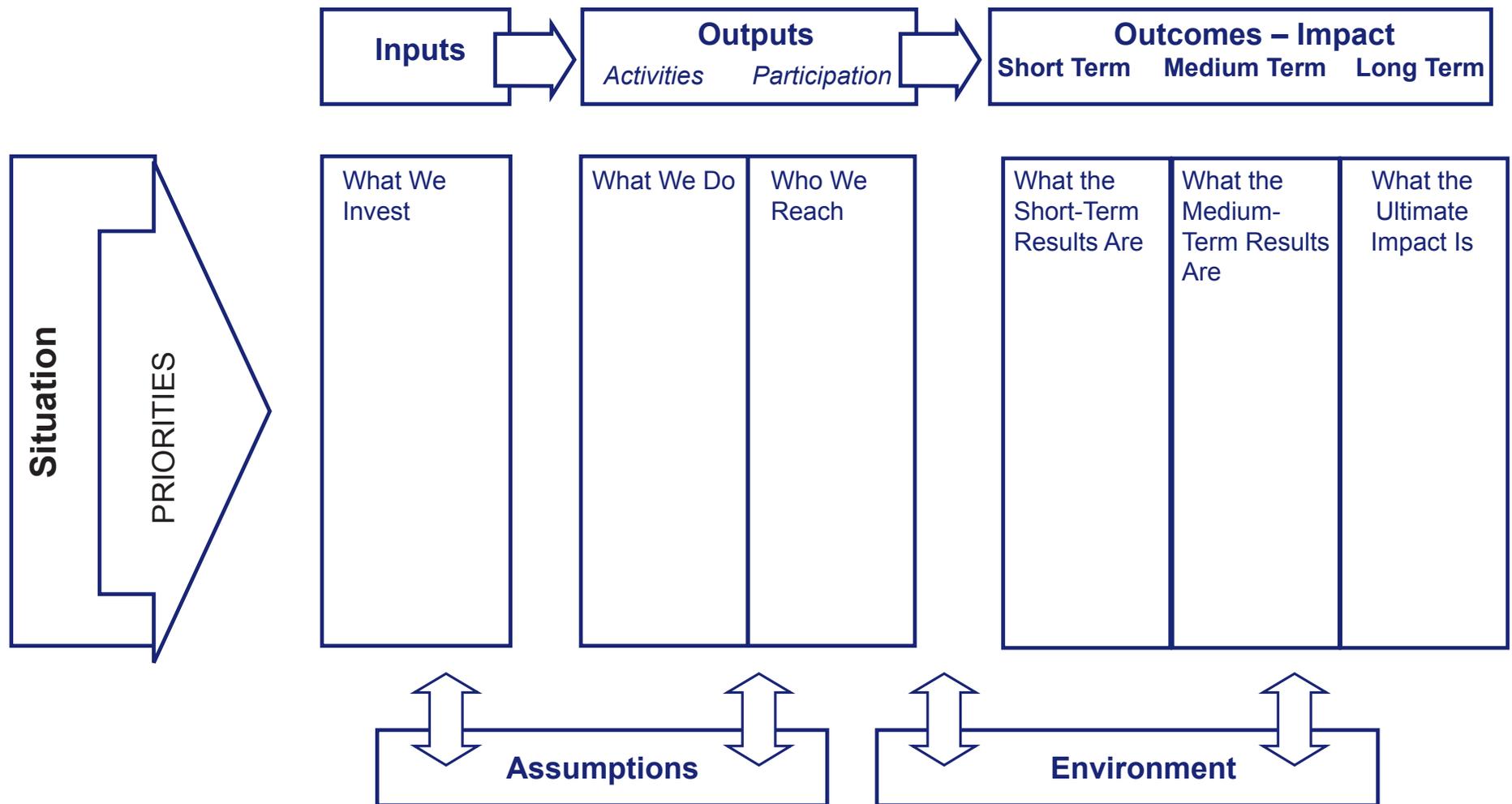
Key to evaluating the benefit to families is the development of collaborative outcome measures. Unless all partners are held jointly accountable to the outcomes, the collaborative will not succeed in creating "best practice" policies and practices. A critical aspect of successful collaboration is that each system feels the same level of accountability to improving family outcomes.

It is recommended that a professional evaluator be hired early in the process of designing the collaborative initiative. The insight a professional evaluator can provide regarding methodology, variables, potential analyses, and other aspects of the process can save program staff time and help ensure meaningful conclusions from data compiled.

### ***Task 1: Develop Collaborative Outcome Measures***

The Oversight Committee or Steering Committee may choose to develop collaborative outcome measures by selecting from measures already in use by each system, it may develop new outcome measures specifically for this project, or it may use both existing and new measures. The Federal Government has changed the way it views outcome measures and the paper *Child Welfare and Alcohol and Drug Treatment and Prevention Outcomes* included at the end of this section describes the outcome measures used by the Children's Bureau and the Center for Substance Abuse Treatment. In whatever way outcome measures are selected, the team should be able to use them in conjunction with State data systems to provide qualitative and quantitative information to illustrate the successes and shortcomings of their collaborative work.

The figure below is a logic model format to help Committees determine outcome measures. Completing the logic model as a group may facilitate an understanding of how the group's activities lead to desired outcomes and help to determine what should be evaluated. For more information on logic models and outcomes, see *Nonprofit Leadership Institute 2002 The Power of Evaluation: Achieving Service Excellence Outcomes What are They?* at [www2.uta.edu/ssw/indel/Presentations/Handout%20NPLI.pdf](http://www2.uta.edu/ssw/indel/Presentations/Handout%20NPLI.pdf).



- **Situation:** the conditions that give rise to the program
- **Inputs:** the resources and contributions made to the effort
- **Outputs:** activities and products that reach the people who participate
- **Outcomes:** changes or benefits for individuals, families, groups, communities, organizations, and systems.
- **Assumptions:** beliefs we have about the program, the people, the environment, and the way we think the program will work
- **External Factors:** context and external conditions in which the program exists and which influence the success of the program

## Supplemental Worksheets and Tools for Facilitators

The following pages provide samples of tools and other resources that may be useful to facilitators, Steering Committee members, and Subcommittee members. These include—

- The *Collaborative Values Inventory*;
- The *Collaborative Capacity Instrument*;
- The *Collaborative Values Inventory/Collaborative Capacity Instrument Analysis*;
- Principle statements developed by Sacramento County, California, Cuyahoga County, Ohio; and the NCSACW Consortium: American Public Human Services Association (APHSA), Child Welfare League of America (CWLA), National Association of State Alcohol and Drug Abuse Directors (NASADAD), National Council of Juvenile and Family Court Judges (NCJFCJ), and National Indian Child Welfare Association (NICWA).
- Child Welfare and Alcohol and Drug Treatment and Prevention Outcomes.