

*Central California Public Social Services Training Academy*

# Field-Based Trainer Handbook

*"Serving those who serve others"*



## **Serving the Central California Counties**

Fresno County  
Kern County  
Kings County

Mariposa County  
Merced County  
San Luis Obispo  
County

Stanislaus County  
Tulare County  
Ventura County

Madera County

Santa Barbara County

*California State University, Fresno  
College of Health and Human Services*

*California State University, Stanislaus  
Master of Social Work Project*

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## Acknowledgements

The Central California Training Academy acknowledges the hard work, fine ideas and coordinated efforts of its Field-Based Trainers and Transfer-of-Learning/Leadership Specialist, as well as the Academy's Curriculum Development Specialist, in making completion of this handbook possible.

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# **Section I: Introduction**

## **Introduction and Purpose of the FBT handbook**

The Central California Training Academy first launched its Child Welfare Services Field-Based Training Program (formerly known as the Merced Peer Mentoring Program) in early 2000. The purpose of this program has been to serve as a county-based Transfer-of-Learning link between the mandated Child Welfare Academy Core classroom instruction and the practical application of knowledge and skills within the field by workers and supervisors. One-on-one mentoring relationships are designed to assure mastery of statewide competencies and support retention of Child Welfare workers. Since implementation, the Academy's county-based formal Transfer-of-Learning program (now entitled Field-Based Training Program) has expanded to six of the 11 regional counties served by the Central California Training Academy, with a staff of seven Field-Based Trainers.

In an effort to provide a tailored approach to individual county training and staff needs, the structure, design and funding of each county's Field-Based Training Program have varied considerably in order to provide county agencies with maximum flexibility in the roles and responsibilities of the Field-Based Trainer.

While this flexibility has been helpful in supporting the specific needs of counties in building skill and supporting retention of new, promoted and reassigned workers and supervisors, the wide variability in application has made the process of creating a standardized structure for the field-based training model challenging. In addition, new Field-Based Trainers beginning work in various counties require guidance and support in establishing appropriate relationships and roles as they fulfill the responsibilities of the field-based trainer.

As the Academy has expanded and evolved its Field-Based Training program, the need to develop a handbook that outlines the intended outcomes, program structure, roles and responsibilities, relationships, practices, processes and resources of the Central California Training Academy's Field-Based Training Program has become critically important. In addition, standardization of practice is important to the Academy's continued effort to formally evaluate the effectiveness of the Field-Based Training Program.

As a result of findings from the first Children and Family Services Review in 2003, the state began efforts to standardize and mandate its Child Welfare Services training competencies and curriculum. As of 2009, California Social Work Education Center (CalSWEC) has developed six standardized curricula and has adopted competencies for all training areas. In addition, training

regulations were established July 1, 2008 for California’s Child Welfare agencies that mandate completion of a standardized course of training for new workers and supervisors during their first and second years of employment as well as requiring that existing workers and supervisors obtain 40 hours of continuing education every two years. Transfer-of-Learning efforts delivered by the Field-Based Trainers can also be used to meet these mandated training requirements.

The purpose of this handbook is to provide the Academy staff and its Field-Based Trainers with a resource guide for understanding the practice, processes, relationships, roles and responsibilities of the Field-Based trainers. It may serve as an information resource for participating counties and other organizations interested in implementing a formal transfer-of-learning program.

## Key Result Areas Related to State and Federal Reviews

The Central California Training Academy Child Welfare Core Curriculum series, advanced specialized training and Transfer-of-Learning services provided by the Academy's Field-Based Trainers, are intended to support development of Child Welfare worker and supervisor knowledge, skills and values based upon standardized competencies and learning objectives developed at the state level.

As a result of the periodic federal Children and Family Services reviews and California's Outcomes and Accountability System, California mandated standardized Child Welfare Academy training and Transfer-of-Learning to support in its Performance Improvement Plan (PIP) and individual county System Improvement Plans (SIP). This standardized training and Transfer-of-Learning support is focused on strengthening daily practice and fostering consistency in decision-making to lead to improvements in the key Adoptions and Safe Families Act outcome areas of safety, permanency and well being of children served by Child Welfare Services.

Theme areas of focus include integration of evidence-based research into practice, fairness and equity in decision-making and service delivery, effective engagement of children and families in decisions and case planning and adherence to the principles of strengths-based practice. In addition, daily practice behaviors should include consistent use of evidence-based risk assessment tools, engagement in case planning and appropriate use of visitation to support Family Reunification services.

Specifically, the five key federal and state outcome areas include:

- Children are, first and foremost, protected from abuse and neglect;
- Children are safely maintained in their homes, whenever possible;
- Children have permanency and stability in their living situations without increasing reentry into foster care,
- The family relationships and connections of children served by Child Welfare Services will be preserved as appropriate; and,
- Youth successfully transitioning to adulthood (state).

### **Children are, first and foremost, protected from abuse and neglect**

The first outcome, focused on child safety, includes two key indicators:

- Reoccurrence of maltreatment without a subsequent substantiated or inconclusive (indicated) referral within the next six months:
- No maltreatment in foster care.

Competencies and skills associated with this outcome include supporting development of effective investigation and interviewing skills, competent use of safety threat and risk assessment tools and ability to develop effective safety plans. These skills are focused on promoting consistent and effective decision-making based upon the appropriate level of intervention and implementation of an effective plan of services linked to safety threat and risk level.

### **Children are safely maintained in their homes, whenever possible**

The second federal outcome, safely maintaining children at home whenever possible, focuses on meeting federal Title IV-E and state Division 31 standards for conducting a timely investigation and documenting contacts with children and families during referral investigation, assessment and service delivery periods.

Competencies and skills associated with this outcome include development of effective engagement and interviewing skills, knowledge and integration of family-focused interventions, time management skills, documentation skills, competent use of risk and family strengths and needs assessment tools, family-centered case planning and service coordination, and cross system collaboration by workers.

### **Children have permanency and stability in their living situations without increasing re-entry into foster care**

The third federal outcome involves promoting permanency and stability of children in their living situations without increasing the rate of foster care re-entry. This outcome area includes 12 composite measures related to reunification, adoption and placement stability:

- **Family Reunification**
  - Children reunified in less than 12 months (exit cohort or study group)
  - Measurement of median stay in care
  - Children reunified within 12 months of entering care (entry cohort or study group)
  - Reentry following reunification

- **Adoption**
  - Children with finalized adoption within 24 months
  - Median time to adoption
  - Adoption within 12 months after 17 months in care
  - Children legally free within six months after 17 months in care
  - Legally free children with finalized adoption within 12 months
  
- **Stability**
  - Two or fewer placements for children in first year of care
  - Two or fewer placements for children in second year of care
  - Two or fewer placements for children in care over two years

In addition to the knowledge, skills and values mentioned above, this outcome area is focused on practices related to out-of-home placement assessment, decisions, processes and support of children and their substitute care providers. This area also includes being able to identify and assess the capabilities of the substitute care provider, identify family placement resources, and use of risk assessment tools focused on evaluating risk and safety threat in order to make the reunification decision. This area also includes practices of concurrent and permanency planning, assessment of permanency options and familiarity with legal processes related to establishing permanency.

**The family relationships and connections of children served by Child Welfare Services will be preserved as appropriate.**

The fourth outcome area relates to supporting the developmental needs of children in care as well as preserving family relationships and natural connections and includes six key indicators:

- Placement of siblings together in care
- Placement of children in least restrictive placement
- Rate of children placed in ICWA preferred placements
- Rate of authorization of use of psychotropic medication
- Rate of children receiving CHDP and Division 31 required medical and dental examinations

In addition to the knowledge, skills and values previously discussed, Field-Based Trainers support worker and supervisor best practices related to placement of children, familiarity with Indian Child Welfare Act provisions and resources, knowledge of legal and medical processes for obtaining permission to administer

psychotropic medications and process for assuring and documenting required medical and dental care.

### **Youth Transition to Self-Sufficient Adulthood**

California also included an outcome area that focuses on supporting successful transitioning of youth leaving the foster care system to adulthood through development of life-long connections and effective skills for living independently.

Field-Based Trainers support worker and supervisor practices related to building a youth permanence team, conducting emancipation conferences, and complying with state statutes and regulations related to transitioning youth..

Associated with federal and state efforts to monitor referral and substantiation rates as well as foster care entry rates within each county are development of knowledge and skills related to making and documenting appropriate referral dispositions related to Penal Code definitions. In addition, efforts in further integrate use of safety threat assessment, safety planning and voluntary in-home services, into regular practice, whenever possible.

## How This Handbook is Structured

The Central California Training Academy Field-Based Trainer Handbook is structured into 10 sections.

### **Section I:**

This section provides an introduction to the handbook and discussion of the connection of Field-Based Training to federal and state outcomes for families.

### **Section II:**

This section describes the roles and responsibilities of Field-Based Trainers, summarizes current models of practice used in the Academy counties and highlights variations, discusses current research on benefits and outcomes of Field-Based Training and defines Transfer-of-Learning in a human services environment.

### **Section III:**

This section provides a description of how Field-Based Training activities tie into the Academy's classroom training and established statewide competencies and learning objectives. It also contains a current list of Academy core training topics and required hours for workers and supervisors. A complete set of worker and supervisor competencies and learning objectives developed by CalSWEC are found in the Appendix of this handbook.

### **Section IV:**

Focus of this section is on describing the relationships that the Field-Based Trainers may have within the Academy and each county agency. These relationships may occur individually or within group settings with county-specific variations.

### **Section V:**

Discussions in this section center the specific processes and considerations for working with county staff to orient them to the Academy Core services and Transfer-of-Learning services as well as establishing relationships with new, reassigned and experienced staff and supervisors. Finally, the role of Field-Based Trainers in working with groups within the county to focus on specific skill or knowledge development or to update knowledge is discussed.

## **Section VI:**

Documentation processes used by the Field-Based Trainer are discussed in this section, including policies for submission of time cards (attendance reports) and Field-Based Trainer activity reports, quarterly and annual reports, processes for documenting CEUs, trainee session notes, maintenance of a Field-Based Trainer file and processes for responding to requests from the county for documentation of worker and supervisor performance and learning needs.

## **Section VII:**

A variety of relevant practice codes relating to Field-Based Training are included in this section, including a copy of the National Association of Social Workers Code of Ethics and National Staff Development and Training Association Training Standards. Additionally this section contains a brief discussion of key issues and application by Field-Based Trainers.

## **Section VIII:**

This section serves as the Field-Based Trainer's Policy and Procedure guide and contains specific information on internal Academy policies, Field-Based Trainer-County relationships and a place to file county specific policies.

## **Section IX:**

This resource section contains key tools of the Field-Based Trainer, including but not limited to needs assessment tools for groups and individuals, individual training needs assessment, Total Action Plan, sample learning objectives, and summary of key elements, checklist for monthly supervisory conferences between the Transfer-of-Learning/Leadership Specialist and Field-Based Trainers, periodic conferences between supervisors/workers and Field-Based Trainers to discuss learning needs and outcomes and a summary of Transfer-of-Learning activities that can be used by Field-Based Trainers.

## **Section X:**

Section X is an appendix of references, complete set of CalSWEC Child Welfare worker and supervisor competencies and learning objectives, other Transfer-of-Learning products and a bibliography.

## Description of the Field-Based Trainer Evaluation Project

Early efforts to evaluate the Central California Training Academy’s Field-Based Training program (formerly called “formal mentoring”) occurred largely in coordination with other California Regional Training Academies and the California Social Work Education Center (CalSWEC) in the development of a formalized overview of various Child Welfare mentoring program models. In addition, a 2001 worker and supervisor survey in Merced County was conducted to evaluate staff and supervisor perceptions of the effectiveness of Field-Based Training.

Parallel to development of this handbook, efforts were underway in the spring of 2009 to design and implement a formal evaluation to measure the impacts of Field-Based Training Transfer-of-Learning support on levels of worker knowledge and skill in using the Structured Decision Making (SDM) risk assessment system in participating counties.

The proposed selected area of study focused on the need for new workers to competently use, apply and integrate the results of SDM safety and risk assessment tools in decisions they make in their assigned Child Welfare Services caseloads. The study would evaluate whether the use of Field-Based Trainers to support Transfer-of-Learning improves a trainee’s ability to use the SDM tools correctly to make consistent and professionally competent decisions at established CWS decision points.

The working hypothesis of the first phase of the evaluation postulates that there would be a significant increase in timely completion rates of SDM tools and that there would be evidence within referral and case documentation of an increased linkage between casework recommendations and the guidance provided by the SDM tools for each decision point.

Expected medium term outcomes would be evidence that trainees would be able to engage clients regarding service planning and monitoring using the tools as a structure for family discussions and that case plans and court report recommendations would be linked specifically to results of SDM assessments.

Longer term expected outcomes would include improvements in family outcomes that reflect lower rates of re-referral, subsequent substantiations, foster care entries and time in care, and injuries as well as more timely progress toward permanency.

Three study groups were being considered:

- **Group A:** Workers trained to use the SDM tools and related WebSDM database only in the classroom using the one-day standardized Critical Thinking in Child Welfare Services curriculum and the two-day basic SDM training (or new two-day integrated curriculum) and related computer training.
- **Group B:** Workers trained to use the SDM tools and related WebSDM database only in the classroom using the one-day standardized Critical Thinking in Child Welfare Services curriculum and the two-day basic SDM training, related web application training (or new two-day integrated curriculum) and participation in one or more of the Advanced SDM training modules.
- **Group C:** Workers trained to use the SDM tools and related WebSDM database using classroom training provided to workers in Group B AND at least six individual Field-Based Training sessions focused on appropriate completion and use of tool in making casework decisions.

Counties being considered for the evaluation project would both use SDM risk assessment tools as the adopted risk assessment system AND participate in the Field-Based Training Program.

Field-Based Trainers in participating counties would have attended and participated in the most current version of classroom training for SDM tools and possess adequate skills and knowledge of use of the system to support trainee learning. Also an external factor in the study would be the quality and number of new trainees within the study period.

Field-Based Trainers would make use of standardized Transfer-of-Learning activities that could be delivered in the field with workers as they made use of the SDM tools in decision-making.

Evaluation measures might include tool completion rates as measured by SafeMeasures and Children’s Research Center’s WebSDM, results of embedded evaluation and post-test evaluations from the standardized curriculums, case reading of CWS/CMS case documentation and outcome measures developed by the Child Welfare Research Center at UC Berkeley.

Efforts were underway during the Fall of 2009 to finalize design of the evaluation project.

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## **Section II: What is Field-Based Training?**

## **Role and Responsibilities of Central California Training Academy Field-Based Trainers**

The Central California Training Academy (CCTA) Field-Based Trainer (FBT) provides on-site training assistance in response to Child Welfare Program staff development needs for child welfare workers, supervisors and existing staff, as requested. The FBT acts in the same capacity as an experienced colleague to share the FBT's knowledge and experience with new workers and supervisors with the goal of helping those workers to be successful in ongoing development and mastery of the core sets of skills and knowledge required for professional child welfare practice and supervision. FBTs are master's level staff possessing expertise, knowledge and experience in diverse child welfare subjects. The FBT utilizes a competency-based CWS training model to provide ongoing development of social work staff and supervisors for their roles and responsibilities in the Child Welfare system. Outlined below are the responsibilities that a Field-Based Trainer may provide, dependent on county placement and scope of work in either working with Child Welfare Services supervisors while other FBTs work with Child Welfare Services line staff.

### **Support**

- Support child welfare supervisors in their roles as managers, teachers, trainers and educators.
- Support supervisors by teaching them the skills and knowledge necessary to support their staff working with complex family dynamics.
- Be familiar with content of supervisory and worker Core training and follow up with new supervisors/workers after training to encourage and incorporate learned information into daily practice.
- Work with county agencies on implementing California Department of Social Services policy, program, mandates and new initiatives that present implications for training.
- Focus on dissemination of pre-service training curriculum and linking Transfer-of-Learning.
- Play a role in evaluating the effectiveness of the training program and ensuring that workers can apply newly learned knowledge and skills to field practice.
- Support CWS/CMS computer training needs by assisting workers in CWS/CMS knowledge and application skills, linking data to State mandates and county specific practices.
- Reinforce direct case management, best practice skills and knowledge learned in the classroom with transfer-of-learning methodologies and

models with the goal of ongoing professional development of workers and supervisors in fieldwork through activities to include demonstrating, teaching, modeling, and providing coaching through the use of case exercise and feedback to apply and develop critical thinking skills.

- Provide coaching in order to encourage the worker to develop a supervisory relationship that supports the supervisor as the coach and educator to their worker.
- Meet other specific identified needs as they arise, consistent with role as a FBT.

## **Train**

- Train direct case management, best practice skills and knowledge learned in classroom training, with Transfer-of-Learning methodologies and models.
- Prepare workers/supervisors to support their learning while in the classroom and provide Transfer-of-Learning activities out in the field.
- Provide activities to the worker and/or supervisor to include demonstrating, teaching, modeling, and providing individualized coaching through the use of real case exercises, as well as feedback to help apply and develop skill building.
- Conduct small group discussion sessions around core skills and values.
- Provide CWS staff with guided field experiences using transfer-of-learning techniques.
- Coach workers transferring to different assignments on requirements and processes related to this assignment.
- Structure experiences that provide a link between CCTA training and on-the-job county specific application.
- Provide individual attention on specific skill/knowledge areas identified by the supervisor.
- Embrace tools and technology used in supervisory training program in order to train supervisors to use strengths-based training model to improve personal leadership, supervisory and team-building skills.
- Participate in SPIN Video Leadership Development program as a FBT working with CWS supervisors directed to the specific training and skill development needs of child welfare managers and supervisors.

## **Collaborate:**

- Work directly with a county liaison on a consistent basis in order to identify areas of concern to address these in a timely effective manner

- Assist workers and supervisors with completion and use of the Individual Training Needs Assessment (ITNA) tool (see Section IX, Tools and Resources)
- Work with the supervisor to identify an individual worker's strengths and training needs, as well as to collectively provide continuous support and encouragement that each new worker requires to learn the job
- Encourage communication with the worker's supervisor to strengthen the link between the worker and the supervisor and provide the bridge that builds and supports the worker / supervisor relationship.
- Assist County Staff Development in county specific training programs to avoid duplication, overlap and conflicts, as well as to identify training needs, develop curricula and provide feedback on organizational training needs
- Participate on various committees to assist the county in implementation of new initiatives such as Differential Response, Youth Permanence, Family-to-Family, Cultural Broker, etc. as it relates to the training and transfer-of-learning needs
- Provide regular reports to CWS management on activities, hours and staff served

### **Role Distinction Between the Field-Based Trainer and CWS Supervisor**

Clearly defining the individual roles of the supervisor and the Field-Based Trainer is essential to effective transfer-of-learning. The supervisor manages on-the-job performance of the worker. The FBT is not involved in performance assessment for purposes of employment. The FBT role is to prompt the worker through a process of self-reflection and assessment of their own performance and practices, followed by goal setting and planning for new behaviors. The FBT guides, suggests, teaches, challenges, and coaches using their own experience, expertise, and caring to influence the worker.

A FBT does not supervise or engage in formal performance evaluation of staff. The FBT is not to serve as a means to provide documentation for progressive discipline. This responsibility rests solely with the worker's supervisor.

However, the FBT is a mandated reporter and does have the responsibility to report to the supervisor any concerns that involve child safety or violations of legal, regulatory or ethical standards and to advise the worker that the FBT is making the report. All other feedback to the supervisor is to be provided in a joint conference with the worker, supervisor and the FBT focused on the

progress and completion of the goals set for the worker by the supervisor. The role of the worker's supervisor is critical to establish a successful program. The FBT can help to guide the workers to keep their supervisor informed of meetings, overall progress and openly discuss their mentoring and workplace skills and development as these areas relate to the worker and the organization.

## **Definition of Transfer-of-Learning**

Transfer-of-Learning (TOL) is the application of skills and knowledge learned in one context (the classroom) and applied to another context (the Job). Research shows that successful Transfer-of-Learning will result in a higher level of performance and increased quality of services provided to clients. Also, staff that performs better on the job is more motivated to stay on the job. (Source: A Key to Success: Transfer-of-Learning: Public Child Welfare Training Academy (PCWTA).

The Central California Training Academy Field-Based Trainer works in collaboration with the Child Welfare Services Common Core training series in an effort to bring the principles learned in the classroom to life in the day-to-day work of Child Welfare Workers. The FBT works with the social worker both in the field and in the office to integrate their training knowledge into practice. The FBT challenges the social worker to use critical thinking skills and creativity to bring their practice to a higher level. Examples of Transfer-of-Learning exercises used by the FBT can be found in the appendices of this manual.

## **Current models of FBT practice and county-specific variations**

### **Definition of a Mentor (Field-Based Trainer):**

*A mentor is a role model, a guide, and a wise and trusted friend.*

Throughout the ages, the term “mentor” has been used to describe an individual who provides the time and care to form a relationship with a less experienced person who is faced with a challenge. A good mentor is “other-centered,” that is, she/he knows that the focus of the match is always on the growth and the development of the mentee.

### **The History of Mentoring**

The first recorded mention of mentoring comes from Homer’s classic work, *The Odyssey*. In this tale, the adventurer Odysseus is about to depart on a 10-year journey and he leaves his son Telemachus with a servant, Mentor. In the absence of the father, Mentor’s role was to guide and inspire Telemachus as the youngster prepared himself for his future task as the ruler of Ithaca.

In ancient Greece, it became the norm for older and wiser individuals to be paired with less experienced youth. This practice was also found in the Middle Ages, when accomplished merchants, metalworkers, and even farmers took on young people to teach them their trade. During the industrial revolution the apprentice relationship turned into the employer/employee relationship that we know today.

### **The Development of Business-Based Mentoring**

In the more recent past, most mentoring relationships that developed were “informal” in nature. That is, they developed spontaneously or casually, without the aid of an organizational structure. In the last several decades, a great number of structured mentoring programs have been developed and implemented.

Many of these have been youth mentoring programs, but mentoring has also spread to the business world. Formal business-based mentoring programs began to increase in numbers near the end of the 1970’s. The goal of many of these programs was to increase career opportunities for women and minorities. Today, business mentoring programs tend to open their programs to employees regardless of gender or ethnicity. Currently, mentoring is being rediscovered as a

tool that can help to make positive changes within individuals and the environment in which they work.

### **The Learner-Centered Mentoring Model**

The Learner-Centered Mentoring Model centers and maintains the focus on the learning goals of the mentee or learner. Maintaining the focus on the mentee's learning goals is one of the biggest challenges in the mentor's work. When learning is not the focus, the mentoring process is reduced to a mere exchange of information, the integrity of the learning is compromised, and the relationship is undermined (Piercy, 1992).

The phrase *learning partnership* is congruent with the learner-centered mentoring model, which is grounded in knowledge about adult learning. The learner -- in this case the mentee -- plays a more active role in the learning process than in a mentor-driven model even when the mentor has recruited the mentee. The mentor's role has been changed from the "sage on the stage" to the "guide on the side." There has been a shift away from the more traditional authoritarian teacher-dependent student-suppliant model, where the passive mentee sits at the feet of the master and receives knowledge. Today, "wisdom is not passed from an authoritarian teacher to a suppliant student, but is discovered in a learning relationship in which both stand to gain a greater understanding of the workplace and the world" (Aubrey and Cohen, 1995). The mentor is now less authority figure and more a facilitator. The more the mentor is engaged in facilitating the learning relationship and engages the mentee to the learning process, the greater chance that the climate within the relationship will be conducive to learning.

### **The Adult Learning Mentoring Model (Field-Based Training)**

The focus of mentoring has shifted from a product-oriented model, characterized by the transfer of knowledge, to a process-oriented relationship involving knowledge acquisition, application and critical reflection. The shift in best mentoring practice is consistent with what we know about adult learning:

- Adults learn best when they are involved in diagnosing, planning, implementing and evaluating their own learning.
- The role of the facilitator is to create and maintain a supportive climate that promotes conditions necessary for learning to take place.
- Adult learners have a need to be self-directing.

- Readiness for learning increases when there is a specific need to know.
- Life’s reservoir of experience is a primary learning resource; the life experiences of others enrich the learning process.
- Adult learners have an inherent need for immediacy of application.
- Adults respond best to learning when they are internally motivated to learn. (Knowles, 1980)

### **Examples of Mentoring Models (Field-Based Training) with Children and Family Services**

#### **Connecticut Department of Children and Families Children FIRST, Fordham University Graduate School of Social Services (2001)**

In 2001, Connecticut’s Department of Children and Families (DCF) initiated a Pilot Mentoring Program dedicated to the professional social workers and social worker supervisors. The pilot program served as a partnership between the mentor and the mentee. It was a contract focused upon interpersonal support, guidance, sharing of ideas, expertise and role modeling. The program was developed and designed to support DCF social work staff through voluntary participation of all parties. The program objective was to enhance the personal and career development of a diverse group of DCF social workers/supervisors by providing them with a mentor to assist in their overall development. The goals of the Mentoring Program were to 1) increase organizational commitment 2) build leadership capacity 3) increase retention 4) improve the worker’s ability to navigate and negotiate within DCF and the community, and 5) increase opportunities for career and personal development.

The program was coordinated by the Department of Children and Families Training Academy.

The mentors were DCF management staff with known competent practices and experience, in good standing with the Department, who demonstrate an interest in the mentoring program as it relates to personal and career development and commitment to improving staff development.

The mentees included DCF social workers, social worker supervisors and clinical social workers who had completed their probation period and were at least in the second year of employment with a performance rating of satisfactory or above. Participants committed to the mentoring relationship for a one-year period.

### **Current Field-Based Training: Supervisors Mentor Models Component**

In the early years of the 21<sup>st</sup> century, the state of California began researching the need for the development of mentorship with social worker supervisors. Several other states had already started pilot projects, including Mississippi, Arkansas, Tennessee, and Missouri.

The Tennessee Project is highlighted below because it provides services that are similar to the services now being provided by the Central California Training Academy.

#### **Tennessee Supervisor’s Demonstration Project Tennessee Department of Children Services and the University of Tennessee-College of Social Work**

The project sought avenues to improve the quality of training received by frontline supervisors that would greatly enhance their ability to manage the job and improve the quality of service that their staff provided.

Project goals included enhancing and improving competence of front line supervisors and case managers and addressing decision-making processes and organizational change issues and their impacts on the supervisory process.

The project incorporated as a foundation a decision-making approach integrated into the interactional process posited by Lawrence Shulman (1993) in his book *Interactional Supervision* and Carlton .E. Munson (1993) in his book *Handbook of Clinical Social Worker Supervision*, who state that structured clinical casework supervision is an interactional process that occurs between the supervisor and the worker, that if supportive, transfers into a parallel process between the worker and the client. The uniqueness of this project’s model included a mentoring component that was developed to reinforce application of information gleaned from the modules.

The mentoring component, based upon the work of *Munson (1992)*, included regular, consistent, structured, case-oriented and evaluative interaction that undergirded the mentoring process.

Trainers and mentors were highly skilled practitioners and academics with a wealth of experience in child welfare practice, supervision and administration.

### **Central California Training Academy**

The CCTA Field-Based Trainers, formally known as mentors, have been operating in participating counties since 2000. Field-Based Trainers are individuals who have professional and educational experience in the field of Child Welfare Services.

### **Central California Training Academy counties with Field-Based Trainers**

#### **Fresno County**

Fresno County currently has two Field-Based Trainer positions, working with newly hired or promoted social worker supervisors who attend the state mandated Supervisor Core Training. The Field-Based Trainers work in correlation with Fresno County Department of Children and Family Services and the department's training unit. The FBTs utilize a model of supervision that incorporates the interactional and educational components reflecting the transfer-of-learning and the parallel processes between worker-supervisor and worker-client relationships along with the support element provided through a mentor.

Each FBT attends the Supervisor Core Trainings along side county staff to help promote transfer-of-learning from the training room to social work practice. The FBTs meets with Fresno County administration staff on a quarterly basis with the newly promoted supervisors in attendance. The FBTs provides one-on-one weekly meetings with the new supervisors and a monthly support group meeting. Fresno County FBTs are also involved with several of the Casey Foundation, Family-to-Family initiatives. For example, the FBT participates in the Community Collaborative, the Team Decision Making Meetings, the Eliminating Racial Disparities and Disproportionality Project, and the Cultural Broker/CalSWEC/CSU Fresno Grant Project.

## **Madera County**

Madera County currently has one Field-Based Trainer position. The FBT has worked with the program manager and new and experienced social service worker supervisors.

The FBT utilizes an interactional model of coaching and engages in the transfer-of-learning and skill development based upon identified learning objectives set by the trainee and their program manager in coordination with the FBT. Trainees are referred by their program manager.

Some of supervisors in this county have been employed for several years and some had not attended the state-mandated Supervisory Core training. Therefore, the FBT provides individual and group training on how to be an effective supervisor as well as team building skills. Also, specialized topics are trained within a group setting, such as provisions of the Division 31 regulations and state statutes.

The FBT meets with the assigned trainees on a weekly basis, attends weekly supervisory/manager meetings and leadership team meetings. In addition, the FBT meets quarterly with the deputy director, program manager and the Academy's Regional Training Coordinator to assess training needs.

## **San Luis Obispo County**

San Luis Obispo currently has one Field-Based Trainer position. The Field-Based Trainer works with both social work supervisors and social workers. The current model of practice is to facilitate transfer-of-learning. Transfer-of-learning activities are based on the knowledge mentees acquire in the Core Trainings. Additional transfer-of-learning activities are developed to meet the specific goals of on-going social workers staff and supervisors.

All new social workers are referred by the staff development department. On-going social workers are self-referred or referred by their supervisors. Supervisors are referred by their Regional Managers.

The Field-Based Trainer meets with the new social workers one-on-one, on a weekly basis either in the field or in the office. The FBT accompanies the social worker on home visits with clients to observe and develop skills to enhance their abilities as social workers. The Field-Based Trainer meets with new social worker supervisor twice a month, on-going supervisors once a month individually and as a group once a week to develop leadership skills and skills to aid their workers in the field. The FBT meets with San Luis

Obispo County Administrative staff at least weekly and with the supervisors of new social workers twice monthly and once monthly with on-going social workers.

### **Santa Barbara County**

Santa Barbara County has one Field-Based Trainer who works in all three regions of the county with new, re-assigned and experienced line staff and supervisors within the office and field settings.

The FBT utilizes the interactional model of coaching and engages in Transfer-of-Learning and skill development based upon identified learning objectives set by the trainee and their supervisor in coordination with the Field-Based Trainer. Trainees are either self-referred or referred by their supervisor.

New trainees are assigned to work with the Field-Based Trainer on a twice monthly basis for a period of six months after five weeks of induction training that includes a portion of the Child Welfare Services Academy curriculum.

The method and style of Transfer-of-Learning is similar to San Luis Obispo County.

### **Tulare County**

Tulare County has two Field-Based Trainer positions. FBT's work with newly-hired, reassigned and experienced Child Welfare Workers. The FBT works with both supervisors and social workers. The current model of practice is to facilitate transfer-of-learning. Transfer-of-learning activities are based on the knowledge trainees acquire in the classroom Core Training and other specific trainings that are provided to social workers that the FBT may or may not attend.

The supervisor initiates services from the FBT by completing the "Field-Based Trainer Request Form" that describes the training needs of the social worker being referred. The FBT, supervisor and the social worker meet to complete the "Total Action Plan" which defines the learning objectives to meet the training needs, and it identifies how the objectives will be supported by the supervisor.. The FBT will meet one-on-one with the social worker and accompany the worker on home visits to clients to observe and enhance their skills and to develop skills that would create best practice.

Newly hired social workers are assigned to the FBT for transfer-of learning. The FBT attends the Core Trainings to promote the transfer-of-learning from the training room to practice.

The FBT, and the Transfer-of-Learning/Leadership Specialist meet with Tulare County Administration regularly to continue to define the counties training needs and the role of the FBT.

### **Future evolution of the Central California Training Academy's Field-Based Trainer model**

Going forward, the Academy's Field-Based Trainer model will continue to evolve in response to changing training needs of participating counties. Regular consultation between the Academy and county training professionals occurs to assure responsive and flexible transfer-of-learning services.

## **Current Research on Known Outcomes and Benefits of Field-Based Training**

Although the idea of mentoring is not a new one, in recent years, there has been an increased focus on programs designed to facilitate both formal and informal mentoring relationships, with practitioners, researchers, policy makers and funders all looking to mentoring as a promising form of intervention. (1)

Mentoring and coaching have been found to significantly contribute to the success of both individuals and organizations. Within the Performance Enhancement Solutions' human capital development theory, mentoring is one of four foundational pieces (along with emotional intelligence, leadership development and teamwork) upon which all personal and organizational gains are built. Training programs that are based on personal development models heavily relying on coaching and mentoring have proved to be among the most successful. (2)

Field-Based mentoring refers to programs in which a sponsoring agency coordinates and supports mentor-mentee matches but mentors and mentees typically interact at mutually convenient times and locations. (1)

The Central California Training Academy Field-Based Trainer's use of transfer-of-learning tools solidifies knowledge and skills taught via training. Mentoring of child welfare social workers and supervisors helps to meet the requirements of California's Performance Improvement Plan (PIP) by assisting with the implementation of Common Core curricula for new social workers and supervisors. (3)

Research outcomes on the efficacy of field-based mentoring programs in Child Welfare Services are limited. However, examples of comparable mentoring programs in the private sector as well as youth-based programs suggest that field-based mentoring programs in child welfare can greatly increase knowledge, competency, and personal empowerment of social workers. Better-trained social workers not only affect the families they serve but they affect the organization as a whole. (3)

In a study conducted at the Merced County Child Welfare Department, new social workers reported an improvement in cognitive skills and behavior as a result of the field-based mentoring. Both the new workers and their supervisors felt that the training program increased knowledge of basic child welfare concepts and values. Additionally, new workers reported an increased sense of personal empowerment in the workplace. (3)

In 2006, Central California Training Academy Field-Based Trainers provided 90 days of intensive transfer-of-learning service delivery focused on improving timeliness and quality of court reports in Fresno County with a team of four supervisors in the Family Reunification program. This program was evaluated for its effectiveness in achieving desired outcomes. Activities included weekly group meetings with program manager and supervisors, bi-weekly meeting with the assistant director, training staff and program manager, daily individual sessions with supervisor, development and delivery of court report writing training and assessment of ongoing training needs. Specific areas of focus included developing worker skills for:

- Writing a legally sufficient and timely court report,
- Development of proactive planning of work flow to support meeting deadlines,
- Developing supervisory skills and attitudes in their role as educators,
- Coaching of line staff and,
- Improving cross-unit communication.

Based upon follow-up interviews and focus group discussions, the county generally saw improvements in:

- Timeliness of reports,
- Better workflow organization,
- More detailed court reports,
- Some improvement in writing quality,
- Improved cross-unit consistency and,
- Improved communication. (4)

Sources:

1. **Journal of Community Psychology**, Vol.34, No.6, Wiley Periodicals 2006
2. **Keeping Employees Focused through Mentoring**, John E. Barnette, Behavioral Health Strategies, LLC, South Charleston, WV.
3. **Merced County Child Welfare Department Peer Mentoring Project Study**, Kristin Reynolds, August 2001
4. **Summary of Evaluation of the Central California Training Academy's Court Reporting Intervention**, Cindy Parry, 2006.

## **Section III: Field-Based Training and Cal-SWEC Competencies and Academy Core Curriculum**

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## **Tie-In To CalSWEC Core Curriculum and Statewide Competencies**

The Central California Training Academy and its Field-Based Trainers are committed to supporting individual and small group development of skill and Transfer-of-Learning from Child Welfare Services Academy classroom instruction to daily field and supervisor practices.

Field-Based Trainers engage workers and supervisors in the process of conducting individualized needs assessments and identifying appropriate learning objectives as part of the process of delivering Field-Based training and education.

Field-Based Trainers then draw on developed curriculum materials and their own practice and academic expertise to support application of best practices and knowledge into daily practice.

Field-Based Trainers may engage trainees in developed Transfer-of-Learning activities and projects or assist in the application of common core knowledge, skills and values.

All core curriculum materials are based upon state-adopted CalSWEC competencies. An outline of both worker and supervisor curriculum courses are contained in this section. A complete set of competencies and learning objectives for both Child Welfare Common Core Curriculum and Child Welfare Supervisor Curriculum can be referenced in the Appendix.

## Central California Training Academy California Common Core Training Outline

Effective Date: June 10, 2009

REGS	COURSE TITLE	DURATION
14-611.11.111	*Framework for Child Welfare Practice in California	1 day
14-611.12 (l)	Child Welfare Practice in a Multi-Cultural Environment	.5 day
14-611.12 (a)	Indian Child Welfare Act	.5 day
14-611.12 (i)	Values and Ethics	.5 day
14-611.12 (k)	Supporting Educational Rights & Achievement	.5 day
14-611.11.115	*Child & Youth Development in a Child Welfare Context	2 days
14-611.11.112	*Child Maltreatment Identification Part I: Neglect, Physical, & Emotional Abuse	1.5 days
14-611.12 (m)	*Child Maltreatment Identification Part II: Sexual Abuse & Exploitation	1.5 days
14-611.12 (e)	Basic Interviewing	1 day
14-611.12 (f)	Domestic Violence	1 day
14-611.12 (g)	Caregiver Substance Abuse & Child Welfare Practice	1 day
14-611.12 (h)	Mental Health Issues in Child Welfare	1 day
14-611.12 (j)	Self Care: Worker Safety in Child Welfare Practice	.5 day
14-611.12 (j)	Self Care: Time Mgmt, & Stress Mgmt in Child Welfare Practice	.5 day
14-611.12 (c)	Court Procedures	.5 day
14-611.12 (d)	CWS Documentation for Use in the Legal System	1 day
14-611.11.114	*Family Engagement in Case Planning & Case Management Case Planning CWS/CMS Component	2 days .5 day
14-611.11.117	CWS/CMS Component - (Automated CW Information System)	.5 day
14-611.11.116	*Placement & Permanency	2 days
14-611.12 (b)	Multi-Ethnic Placement Act (MEPA) / Inter-ethnic Adoptions Provisions	.5 day
14-611.12 (n)	Health Care Needs of Children & Youth in the CW System	.5 day
14-611.11.113	+Critical Thinking and SDM in CW Assessment: Safety, Risk & Protective Capacity, OR +Comprehensive Assessment Tool and Critical Thinking in CW Assessment: Safety, Risk, & Protective Capacity	2 days
14-611.12 (n) 14-611.12 (k)	CWS/CMS Health and Education Passport (Supporting Educ. Rights & Achiev/Health Care Needs of Child)	.5 day

	<b>TOTAL CCTA CORE TRAINING DAYS: (24 Courses Total)</b>	<b>23.5 DAYS 141 Hrs.</b>
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\*Standardized Content Core Courses

+Counties using SDM will receive two-day SDM/Critical Thinking Course. Counties using CAT will have two-day CAT/Critical Thinking Course

# MSW Curriculum Competencies for Public Child Welfare in California

*Published by*

California Social Work Education Center (CalSWEC)  
University of California, Berkeley  
School of Social Welfare  
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Berkeley, CA 94720-7420  
<http://calswec.berkeley.edu>  
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## Introduction

*The Curriculum Competencies for Public Child Welfare in California were formulated in 1991 from a number of primary MSW competency sources <sup>1</sup> as well as sets of child welfare field placement and inservice training competencies used within the state. The California competencies were designed not to recapitulate the full MSW generalist social work curriculum but to provide the foundation for a competency-based curriculum for graduate students in the public child welfare specialization. In addition to drafting the initial competencies with the assistance of a statewide advisory group, the California Social Work Education Center (CalSWEC) convened a forum of 100 stakeholders representing the state's Department of Social Services, university social work faculty, county social service departments, and non-profit child welfare organizations. Their task was to identify specific curriculum elements for the child welfare specialization as well as a public child welfare research base that could be translated into new, empirically based curricula with child welfare content. After the initial formulation in 1991, the competencies have been revised periodically to reflect current practice. A major revision, completed in August 2002, marked the culmination of a revision process initiated by the CalSWEC Board of Directors' Curriculum Committee and Title IV-E Project Coordinators from participating graduate schools of social work throughout the state. The resulting comprehensive draft included the suggestions of human services stakeholders throughout California who participated in statewide focus groups. A workgroup, drawn from the Project Coordinators <sup>ii</sup> and Curriculum Committee members, then met several times to refine the draft. In undertaking revisions, the goal is to integrate the educational guidelines and accreditation standards set forth by the Council on Social Work Education, while preserving the essential elements, general sequence, and usefulness of the prior version. An additional goal is to render the competencies more readily usable by MSW students and faculty in classroom and field. The 2007 revision, also the product of an inclusive statewide process, continues the tradition of refining and clarifying the competencies while reflecting current practice emphases. These emphases include knowledge and appropriate use of research evidence, increasing cultural competence, equitable access to resources, and enhancing professionalism in the work force. As in the previous version, the current formulation divides the competencies into Foundation and Advanced categories, which correspond roughly to the first and second years of the MSW program. CalSWEC educational competencies continue to be woven into training models for ongoing professional development in California's Regional Child Welfare Training Academies. For example, competencies and learning objectives derived from the inservice Common Core Curricula for California were explicitly included in the 2007 revision process to facilitate development of a consistent learning continuum linked to in-service training as well as to social work education.*

Rycus, J.S., & Hughes, R.C. (1994). *Child Welfare Competencies: Promoting Family Centered, Culturally Relevant, and Interdisciplinary Child Welfare Practice and Training*. Columbus, Ohio: Institute for Human Services.

## **California Child Welfare Curriculum Principles Foundation Competencies (First Year)**

- I. Ethnic Sensitive and Multicultural Practice
- III. Core Child Welfare Practice
- V. Human Behavior and the Social Environment
- VII. Workplace Management

## **Advanced Competencies (Second Year)**

- II. Culturally Competent Child Welfare Practice
- IV. Advanced Child Welfare Practice
- VI. Human Behavior and the Child Welfare Environment
- VIII. Child Welfare Policy, Planning, and Administration

1. *The goal of child welfare is to promote the health and safety of children and their development toward a positive, productive adulthood.*
2. *Every child has a right to a permanent home for his or her care and upbringing.*
3. *A caring family is the best and least restrictive environment for raising children.*
4. *A wide range of parenting practices, varying as a result of ethnic, cultural, community, and familial differences, can provide adequate care for children.*
5. *In the circumstances of danger to a child, the state has a right to intervene in family affairs to protect the child. In such circumstances the safety of the child takes precedence over the rights of the parents.*
6. *Every reasonable effort should be made to preserve and strengthen a child's existing family before an alternative placement is considered.*
7. *Services must be available, accessible, timely, and effective.*

## **California Child Welfare Curriculum Principles**

### **I. Ethnic Sensitive and Multicultural Practice**

#### ***Foundation Competencies***

*A working knowledge of and sensitivity to the dynamics of ethnic and cultural differences are at the core of child welfare services. Culturally competent practice acknowledges that an individual's culture is an integral part of overall development and selfhood and strives to use concepts of culture in a manner that enhances individual and family functioning. Given the increasingly diverse service population, cultural competency and understanding of the cultural norms of California's major ethnic groups should be a criterion for competent performance throughout the curriculum. This section includes foundation knowledge, values, and skills for culturally competent child welfare practice.*

#### ***Assessment and referral***

- 1.1 Student demonstrates respect, fairness, and cultural competence in assessing, working with, and making service decisions regarding clients of diverse backgrounds.

1.2 Student demonstrates self-awareness and the ability to address and overcome personal bias in assessing and working with clients of diverse backgrounds.

1.3 Student demonstrates the ability to conduct an ethnically and culturally competent assessment of a child and family and to develop an effective intervention plan.

1.4 Student recognizes personal knowledge limitations regarding specific groups and seeks consultation and expertise as needed to assess and work effectively with clients.

#### *Family engagement and case plan development*

1.5 Student understands the importance of a client's primary language and supports its use in providing child welfare assessment and intervention services. 1.6 Student understands the influence and value of traditional, culturally based childrearing practices and uses this knowledge in working with families.

## **II. Culturally Competent Child Welfare Practice**

### *Advanced Competencies*

*This section builds upon the skills developed towards cultural competence in the foundation. A comprehensive understanding of the cultural norms and values of California's major ethnic, cultural, and immigrant groups is critical in order to make appropriate assessments and to work effectively with members of these groups. Advanced culturally competent practice requires knowledge of the specific challenges faced by different ethnic and cultural populations and the ability to apply that knowledge in legal, social, and psychosocial contexts.*

#### *Case management, placement, and supervision*

2.1 Student demonstrates knowledge of legal, socioeconomic, and psychosocial issues facing immigrants, refugees, and minority groups and is able to devise culturally competent and effective interventions.

2.2 Student is able to critically evaluate the relevance of commonly utilized assessment criteria and intervention models in terms of their usefulness with diverse ethnic and cultural populations.

2.3 Student demonstrates knowledge of the rationale for and requirements of the Indian Child Welfare Act and applies its provisions in working with tribal representatives and families.

2.4 Student demonstrates knowledge of the rationale for and requirements of the Multiethnic Placement Act and applies its provisions in working with families.

#### *Policy and participation in judicial process*

2.5 Student demonstrates the ability to collaborate with individuals, groups, community-based organizations and government agencies to advocate for equitable access to culturally competent resources and services.

## **III. Core Child Welfare Practice**

## ***Foundation Competencies***

*This category includes the basic knowledge and skills for practice of social work in any setting, with emphasis on child welfare practice. Content in this foundation category covers interviewing, assessment, and intervention, with special attention to problems and concerns related to child protection and family preservation. Students learn to apply a strengths perspective in an environmental context and to work collaboratively. At this level, students are able to evaluate child and family information and to take appropriate steps toward permanency planning. In addition, students demonstrate the professional use of self within the values and ethics of social work practice.*

### ***Assessment and referral***

3.1 Student is able to practice basic principles and techniques of interviewing children and families for purposes of assessment, intervention, and service planning.

3.2 Student demonstrates the ability to perform a preliminary safety assessment and to monitor the safety of the child through ongoing assessment of risk.

3.3 Student is able to identify the major family, health, and social factors contributing to child abuse and neglect, as well as positive factors that act to preserve the family and protect the child.

3.4 Student recognizes and accurately identifies the physical and behavioral indicators of abuse, family violence, and neglect, and can assess the dynamics underlying these behaviors.

3.5 Student demonstrates an understanding of basic child development and how developmental level affects a child's perception of events, coping strategies, and physical and psychological responses to stress and trauma.

3.6 Integrating knowledge of individual, family, and cultural dynamics, the student can recognize signs and symptoms of substance abuse in children and adults and assess its impact.

3.7 Student is able to gather, assess, and present pertinent information from interviews, case records, and collateral sources in evaluating an abuse or neglect allegation and making effective referrals for services or further evaluation.

### ***Family engagement and case plan development***

3.8 Student demonstrates the ability to respectfully relate to, engage, and assess family members from a strengths-based "person in environment" perspective, and to develop and implement a case plan based on this assessment.

3.9 Student demonstrates the ability to engage and work with involuntary clients in a manner that includes the exercise of client self-determination.

3.10 Student understands how attachment, separation, and placement affect a child and family and how these experiences may influence a child's physical, cognitive, social and emotional development.

3.11 Student recognizes the importance of working with biological families, foster families, and kin networks, as well as involving them in assessment and planning. strategies.

3.12 Student understands the inherent power differential in working with clients and

can effectively manage and balance that power.

3.13 Student demonstrates the ability and self awareness to assess his or her own value conflicts or emotional responses to clients, coworkers, and situations and seeks consultation when needed.

*Case management, placement, and supervision*

3.14 Student understands the principles of concurrent and permanency planning that takes into account the educational, health, and emotional needs of children.

3.15 Student is aware of forms and mechanisms of oppression and discrimination pertaining to low-income, non-traditional, and culturally diverse families and uses this knowledge to provide equitable and effective child welfare services.

3.16 Student demonstrates knowledge and understanding of the termination process, with clients and with systems.

*Policy and participation in judicial process*

3.17 Student understands the value base of the profession and its ethical standards and principles, and practices accordingly.

3.18 Student understands the dual responsibility of the child welfare social worker to protect children and to provide services that support families as caregivers.

3.19 Student understands state and federal policy issues and child welfare legal requirements and demonstrates the capacity to fulfill these requirements in practice.

3.20 Student understands child welfare legal process and the roles of social workers and other professionals in relation to the courts.

**IV. Advanced Child Welfare Practice**

*Advanced Competencies*

*The practice competency expected in the advanced year addresses the complexity of child protection, special needs, family maintenance, court procedures, and legal requirements. The student builds upon foundation practice and develops knowledge of federal and state child welfare policy.*

*Assessment and referral*

4.1 Student demonstrates skill in interviewing children and families for assessment, service planning, intervention, and forensic purposes.

*Case plan development and case management*

4.2 Student demonstrates the ability and knowledge both to utilize pre-placement preventive services, and to construct a supportive system for clients that may include collaboration with multiple agencies and disciplines.

4.3 Student works collaboratively with biological families, foster families, and kin networks, involving them in assessment and planning and helping them access services and develop coping strategies.

4.4 Student demonstrates the ability to identify service/treatment plan requirements and to construct measurable objectives for the service plan.

4.5 Student demonstrates the ability to recognize abuse occurring in out-of-home placements and to take corrective action to protect children.

4.6 Student demonstrates knowledge of after-care services and skill in developing independent living plans with foster youth.

***Policy and participation in judicial process***

4.7 Student demonstrates knowledge of the philosophy, purpose, requirements, and application of federal and state child welfare policy and legislation.

4.8 Student understands the requirements for effectively serving and making decisions regarding children with special needs, including the balancing of parental and child rights.

4.9 Student demonstrates the ability to prepare written reports for court that are clear, concise, pertinent, and objective.

**V. Human Behavior and the Social Environment**

***Foundation Competencies***

*The competencies in this section concern the stages of child and adolescent development, and the multiple socioeconomic factors influencing that development. The knowledge acquired regarding human developmental processes provides a foundation for assessment and intervention.*

***Assessment and referral, case plan development, and case management***

5.1 Student demonstrates understanding of child and youth development, including physical, cognitive, social, and emotional components, and can recognize developmental indicators of abuse or neglect.

5.2 Student demonstrates understanding of the primary stages and processes of adult development and family life.

5.3 Student demonstrates understanding of the potential effects of poverty, bias, inequity, and other forms of oppression on human behavior and social systems.

5.4 Student demonstrates understanding of the influence of culture on human behavior and family dynamics.

5.5 Student demonstrates understanding of how the strengths perspective and empowerment approaches can positively influence growth, development, and behavior change.

**VI. Human Behavior and the Child Welfare Environment**

***Advanced Competencies***

*These competencies address advanced understanding of human behavior in the complexity of situations addressed in child welfare practice, including poverty, teen sexuality, violence, trauma, and suicide. At this advanced level, the student demonstrates the capacity to apply theories of human behavior in developing intervention plans.*

### ***Assessment and referral, case plan development, and case management***

6.1 Student demonstrates the ability to assess the effects of family transitions and the potential impact of becoming a client of the child welfare system.

6.2 Student can apply theories of human development and attachment in creating and managing effective case plans with clients.

6.3 Student demonstrates the ability to recognize, assess, and devise case plans and referrals to address potential for violence, suicide, and complex psychological difficulties.

6.4 Student demonstrates understanding of the dynamics and effects of trauma resulting from family conflict, divorce, and family or community violence.

6.5 Student demonstrates understanding of the dynamics of human sexuality and gender identity.

## **VII. Workplace Management**

### ***Foundation Competencies***

*This section contains a group of competencies concerning important aspects of agency practice. The competencies address internal relations, organizational requirements, and interdisciplinary and community collaboration. In this foundation competency, the student has acquired strategies for self-care and safety on the job.*

#### ***Assessment***

7.1 Student is able to identify the strengths and limitations of an organization, including its cultural competence and commitment to human diversity, and can assess the effects of these factors on services for children and families.

7.2 Student understands client and system problems and strengths from the perspectives of participants in a multidisciplinary team and can effectively integrate the positive contributions of each member.

#### ***Case management and supervision***

7.3 Student is able to plan, prioritize, and effectively complete activities and tasks within required time frames.

7.4 Student is aware of organizational risk management issues and is able to prevent or resolve potentially harmful situations.

7.5 Student is able to work respectfully and effectively with clients and agency personnel in an environment characterized by human diversity.

7.6 Student is aware of potential work-related stress factors and is able to develop and advocate for self-care and other strategies to reduce their effects.

***Policy, data collection, and planning***

7.7 Student understands the need to negotiate and advocate for the development of resources that children and families require to meet family and service goals.

7.8 Student understands the purpose of outcome measurement and is able to seek client, organization, and community feedback for purposes of monitoring practice, service refinement, and outcome evaluation.

7.9 Student is able to utilize collaborative skills and techniques to enhance service quality in organizational settings.

**VIII. Child Welfare Policy, Planning, and Administration**

***Advanced Competencies***

*These competencies build upon basic knowledge of the work environment to include a broader understanding of policies that affect the delivery of child welfare services. Competencies extend to an understanding of management, political processes, research, and technology, as well as other strategies to enhance organizational effectiveness. The section includes knowledge of funding streams for various services, and planning for service improvement.*

***Case management and planning***

8.1 Student understands how professional values, ethics, and standards influence decision-making and planning in public child welfare practice.

8.2 Student demonstrates the ability to negotiate and advocate for the development of resources that children and families need to meet personal and administrative goals.

8.3 Student understands basic principles of contracting for services in public child welfare.

***Supervision***

8.4 Student demonstrates a beginning understanding of the roles/responsibilities of a leader/ manager to plan and develop systems that enhance staff diversity and alleviate racial and ethnic disproportionality in the child welfare service population.

8.5 Student understands how leader/managers use the collaborative process for the purpose of planning, formulating policy, and implementing services.

8.6 Student demonstrates knowledge of how organizational structure, climate, and culture affect service effectiveness, worker productivity, and morale.

***Policy, data collection, planning, and participation in judicial process***

8.7 Student understands how political activities and regulatory, legislative, and judicial processes at local, state, and national levels influence agency policies, procedures, and programs.

8.8 Student demonstrates basic knowledge of various federal, state, and local child welfare funding sources and their influence on agency policy, objectives, and service delivery.

8.9 Student is able to identify agency and legislative policies and procedures that may negatively affect child well being and the success of permanency and family reunification.

8.10 Student understands how to use information, technology, and evidence-based research to evaluate and improve policy, practice, and program effectiveness.

*The California Social Work Education Center (CalSWEC) is a partnership between the schools of social work, public human service agencies, and other related professional organizations that facilitates the integration of education and practice to assure effective, culturally competent service delivery to the people of California.*

– CalSWEC Mission Statement, 2001

Created in 1990, CalSWEC is the nation’s largest state coalition of social work educators and practitioners.

# Central California Training Academy Foundations of Supervision Training Outline

## *Training Topics*

### Module I

Overview Establishing Expectations for Training  
Five Essential Supervisory Themes  
Four Roles of Supervisor  
Behavioral Styles: DiSC  
Policy & Practice Implications  
Introduction to Fairness and Equity  
Strength-Based Practice  
Transfer-of-Learning  
Tending to Teams I

### Module II

Behavioral Style Profile Review  
Tending to Teams II  
Establishing Expectations Skill Practice  
Authority/ Authority Matrix  
Data & Fiscal  
Taboo Topics  
Stress Management and Self Care

### Module III

Performance Appraisal  
Time Management  
Progressive Discipline  
Post Termination  
Evidence based Practice  
Tending to Teams III

### Module IV

Case conferencing  
Authority matrix  
Cultural templates  
Strength-based principles

### Module V

Fairness And Equity Revisited  
Learning In the Field Experience (LIFE) Reporting  
Unit Building  
Working in Teams Interdisciplinary  
Supervisors as Mentors

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## **Section IV: Field-Based Trainer Relationships and Practices**

## **Relationships of Field-Based Trainers**

Working as a Field-Based Trainer requires development of effective relationships within the Academy organization and the county being served as well as ongoing relationships and communication with trainees and their supervisors. While there are commonalities in these relationships, each Field-Based Trainer, depending on their employee status with the Academy and the agreements between the Academy and the county will establish relationships that will vary in many respects.

Focusing attention on establishing these relationships early in assuming the role of a Field-Based Trainer is important in being effective in the Field-Based Trainer role.

### **Relationship to Central California Training Academy Staff**

All Field-Based Trainers are employed in full time or part time positions with Central California Training Academy and are paid through the California State University Foundation. Depending on Academy/county agreements, some or part of the funding and benefits for these positions comes from state-funded Academy resources or through a contractual agreement between the county and the Academy. As employees of the Academy, Field-Based Trainers report to and are supervised by the Academy's Transfer-of-Learning/Leadership Specialist regarding their performance and expected outcomes. Field-Based Trainers are expected to participate in regular monthly Academy all-staff meetings and Field-Based Trainer meetings and to coordinate with Regional Training Coordinators and support staff as appropriate. They are required to submit payroll and reporting documentation to the Academy, keep the Academy informed of issues relevant to their position and to comply with Academy policies and procedures.

### **Relationship to the Transfer-of-Learning/Leadership Specialist**

The Transfer-of-Learning/Leadership Specialist provides supervision and coordinates the activities of the Academy's Field-Based Trainers with the larger Academy organization (with particular focus on coordinating the activities of Field-Based Trainers) and the counties they serve. Field-Based Trainers engage in at least monthly supervision time with the Transfer-of-Learning/Leadership Specialist to discuss trainee specific issues and county needs and receive guidance, direction and support. Supervision may occur by telephone or face-to-face meeting, depending on geographic proximity and issues being addressed. The Transfer-of-Learning/Leadership Specialist is the person who evaluates the employment performance of each Field-Based Trainer.

The Leadership/Transfer of Learning Specialist conducts monthly Field-Based Trainer staff meetings that bring all staff together for group supervision regarding trainee issues and to continue to define and evolve the transfer-of-learning role of each staff member. These meetings also provide an opportunity to develop coordination with Regional Training Coordinators and the larger Academy as well as to discuss and introduce new or modified policies and procedures. In addition, the group meeting may be used to provide training or updates in knowledge or skill of the Field-Based Trainers. The meeting can also provide an arena for Field-Based Trainers to staff complex or difficult situations with staff or agencies.

### **Relationship with the CWS/CMS Project Coordinator**

The CWS/CMS Project Coordinator provides and coordinates the delivery of training and technical support in all computer applications related to Child Welfare Services in the 11-county Academy region. Applications include: Child Welfare Services Case Management System (CWS/CMS), Safe Measures, Business Objects and WebSDM (Web Structured Decision Making). Training is provided for new users as well as for intermediate and advanced users in all topic areas. Specific training is provided for Child Welfare supervisors in the use of CWS/CMS and Safe Measures for quality control and approval processes. Additional training is provided to supervisors and managers related to all federal and state outcome measures in Child Welfare. Technical support and assistance is provided to counties specific to analysis in their data in relation to funding and outcome measures.

Field-Based Trainers provide support in reinforcing the use of these computer applications during field training assignments with workers and supervisors. In addition, Field-Based Trainers may recommend additional training or technical assistance from the CWS/CMS Project Coordinator as identified during training assignments.

### **Relationship with the Regional Training Coordinator**

Field-Based Trainers work closely with their Regional Training Coordinator (RTC) to help identify county specific specialized training needs and to provide classroom transfer-of-learning support when Academy trainings are conducted in their county. Field-Based Trainers contribute their assessment of training needs to the Regional Training Coordinator based on their experiences out in the field. Feedback regarding identification and assessment of needs may be provided informally via email or telephone, regular face-to-face individual contacts or through contacts at Academy or county. Field-Based Trainers may

provide back-up classroom set-up, coordination and support to trainees and instructors when the RTC is unavailable.

### **Relationship to the County Liaison**

In all counties, the Field-Based Trainer is assigned to work with an identified county staff member (a Child Welfare Services or Staff Development manager or supervisor), who maintains regular contact (minimum monthly) with the FBT. Field-Based Trainers have frequent and ongoing communication with this liaison, who helps to refer trainees and their learning needs to the Field-Based Trainer.

When a county liaison is not available or assigned to the Field-Based Trainer, the Field-Based Trainer will contact supervisors on a regular basis and ask them to identify training needs for themselves and their staff.

As noted above, the Transfer-of-Learning/Leadership Specialist will meet with the Field-Based Trainer, Regional Training Coordinator and county liaison on a periodic basis to discuss Transfer-of-Learning and training needs as well as any issues related to Academy curriculum, specialized training or annual training plan for training new and experienced workers and supervisors.

### **Relationship with Agency Supervisors and Staff**

There is considerable variation in the methods that the Academy's Field-Based Trainers use in maintaining relationship with agency supervisors and staff.

Field-Based Trainers maintain regular individual communication with supervisors and managers to discuss progress on transfer-of-learning efforts, trainee and unit learning needs and to maintain visibility within the county. Some communication is spontaneous and informal and other efforts result in coordinated meetings.

When working with a trainee, Field-Based Trainers engage in a pre- and post-conference with the supervisor and worker to jointly identify learning objectives for the session and to provide feedback on progress regarding skill development.

Since Field-Based Trainers cannot make agency decisions regarding casework, efforts are regularly made to encourage the trainee to seek out and access supervisory support for decision-making.

Each Field-Based Trainer discusses explicitly the communications and information sharing policies with the staff trainee and supervisor so roles and

expectations remain clear. The Field-Based Trainer may be able to provide a trainee with a confidential relationship in order to allow processing of feelings and impressions, as long as these discussions do not involve issues of performance, legal, ethical or safety concerns for the worker or others. The Field-Based Trainer is expected to establish ground rules for working with the trainee at the start of the relationship and, to a lesser degree, at the start of each learning session.

# **Section V: Building Mentoring Relationships**

## **Building mentoring relationships with line staff**

Establishing well-defined and safe mentoring relationships with trainees is the first and most essential part of being an effective Field-Based Trainer. Whether working with newly hired staff members who are unfamiliar with their county agency, Child Welfare Services practice and transfer-of-learning relationship, or an established agency employee who has experience or who has been reassigned to a new unit or position, the start of all field-based training relationships has many common components.

### **Introductions, role clarification and communication agreements**

The Field-Based Trainer must take the time to introduce the role of the Field-Based Trainer as a mentor and skills development coach as well as the FBT's relationship to the Academy curriculum and Child Welfare Services competencies. It is also important to take time to explain the role distinctions between an Academy Field-Based Trainer and county staff development staff or agency supervisors.

The Field-Based Trainer should explain the scope and limits of their role regarding making case recommendations and discuss what information will be held confidential and what training session information must be shared with supervisors and agency management (issues of child, family or worker safety, legal or liability issues, or ethical or practice concerns).

The Field-Based Trainer should explicitly discuss the importance of the integration of the staff person's supervisor in setting learning objectives and receiving feedback regarding the learning session as well as their supervisor's role in providing agency direction and making case decisions.

Finally, the Field-Based trainer should talk with the trainee about preferred styles of communication during and between training sessions.

### **Identification of learning needs and purpose of learning session**

The Field-Based Trainer, staff person and their supervisor will meet and discuss in advance the learning goals for the session. However, at the start of each session, the Field-Based Trainer should assure alignment and agreement in goals regarding learning objectives for the session as well as adjust the session agenda to address any immediate learning or skill development needs. This is particularly true for newly hired or reassigned workers who are struggling with significant learning curves in their specific assignment. In appropriate situations,

the Field-Based Trainer should use the Total Action Plan (TAP) to guide and document the needs assessment discussion.

The Field-Based Trainer will write concise learning objectives with the trainee that will be documented on the Field-Based Trainer Daily Training log and ensure that the trainee receives training credit for the session.

### **Using questions to coach**

Adult learners generally benefit from a learning relationship that uses purposeful questions to coach the worker in the development of their critical thinking skills. Using questions also helps solidify and connect new knowledge of practice and processes into their daily work.

Consider using “solution-focused” questions similar to those outlined in the Academy’s “Framework” and “Interviewing” curricula as a model for working with trainees in examining attitudes and engaging in effective problem solving and case conceptualization.

Once process, framework and strategy for approaching any task or procedure have been established, the Field-Based Trainer can provide more directive information regarding the steps of completing any particular task or process.

### **Transferring learning of Cal-SWEC competencies and Academy core learning objectives and other resources**

The Field-Based Trainer should be familiar with the Academy core curriculum, learning objectives and competencies as well as keeping current on new evidence-based resources for practice. The FBT looks for opportunities to tie actual practice to information provided during Academy training.

For example, while helping a new worker to negotiate academic needs of a newly placed youth, the Field-Based Trainer should refer to and review information regarding Educational Advocacy and AB490 as presented in the Academy core series and discuss with the worker how to apply and use these laws and processes to support successful educational outcomes.

In addition, the Field-Based Trainer may make trainees aware of web-based information and publications that may enhance the depth of their knowledge and skill in the learning area.

### **Generalizing learning and skills**

The primary purpose of the Field-Based Trainer's role is to help workers to apply and generalize their knowledge and specific skills application to their work assignment. Using purposeful questions, interpretation and summarization will be essential tools of the Field-Based Trainer in assisting a worker in connecting and generalizing new knowledge and skills for future application.

### **Providing strengths-based feedback and summarizing progress with the worker and worker's supervisor**

Each session should include a period of providing strengths-based feedback regarding observations made by the Field-Based Trainer during the learning session and summarizing and providing perspective on the progress of learning for the worker. This is particularly important for newly hired workers to help them manage the overwhelming challenges that are inherent in mastering key Child Welfare Services practices and processes.

While some feedback is best delivered individually between the worker and Field-Based Trainer, efforts should be made regularly to link the worker and their direct line supervisor in discussion of learning session feedback and goals for future learning.

Finally, feedback should be a two-way process. As a result, the Field-Based Trainer should also regularly ask for feedback regarding the effectiveness of learning sessions with the worker and supervisor and make use of this information to improve the delivery of Transfer-of-Learning services. The FBT must be aware of the challenges in giving feedback to experienced worker who has been assigned for improvements in skill development using transfer-of-learning methodology. The FBT must develop skill in offering feedback that balances the positive and constructive while maintaining a relationship based upon integrity and openness.

### **Setting new goals for future Transfer-of-Learning sessions**

In closing each learning session with trainees and supervisors, it is important to discuss future need for further knowledge and skill development based upon observations and experience.

When appropriate, the Field-Based Trainer should discuss the need for continuing sessions and agree on an agenda and new time and date for meeting again.

### **Special issues for working with newly hired workers**

Research regarding the special issues and pressures on staff that are new to the Child Welfare environment (Thomas Skovolt and Lawrence Shulman) point to the importance of creating a safe and well-rounded mentoring and coaching relationship. This relationship should support the new worker in adjusting to the culture of the agency, developing an effective and positive supervisory relationship, developing effective co-worker, unit and cross-system relationships and establishing sustainable self-care and time management habits as well as supporting development and generalization of Child Welfare Services knowledge, skills and attitudes.

New workers will want to have a safe avenue for processing their experiences and perspectives regarding the particulars of their own county agency or regional office and learn methods for managing their relationships and reputation within the agency and Child Welfare Services system.

On the other hand, the Field-Based Trainer often has an early and unique opportunity to directly observe and assess the skills, knowledge and potential of a new worker. Frequent contact with the new worker's supervisor or staff development trainer can be helpful in identifying learning opportunities or addressing serious issues early in the probation period.

Efforts to balance these two important roles with the new worker are essential to having a successful and safe relationship.

New workers will need help in defining terms and acronyms and step-by-step guidance for learning the various steps to completing each complex case management task or process.

New workers often do not recognize the depth and complexity of knowledge and skill that is required to become a seasoned Child Welfare Services practitioner and may seek to conclude the Field-Based Training relationship too early once they have become successful in basic casework skills. As a result, new workers need to be encouraged to continue transfer-of-learning sessions for a minimum period (to be negotiated with the county agency) in order to build more advanced knowledge and skills.

Working with newly hired staff can occur effectively within a group setting during the early weeks and months of their training. Gathering new workers periodically to discuss case issues, particular knowledge and skill areas and to master a common task is often helpful.

When working with new staff, the Field-Based Trainer should engage in their own learning development through the use of evidence-based web information and professional publications to provide additional value to deepen the experienced workers knowledge and skill level regarding best current practice.

### **Special issues for working with reassigned workers**

Reassigned workers will usually possess a foundation of knowledge and skills regarding the practices, processes and tools of Child Welfare case management, but may lack or have forgotten assignment specific information they need to do their jobs effectively.

Learning sessions are often targeted on efficient completion of specific tasks or processes following a period of review and overview that supports the worker's approach to their case management tasks.

Reassigned workers often lead their own learning processes based upon their prior experience and knowledge and usually know how long this specialized Transfer-of-Learning support will be helpful to them.

### **Special issues for working with experienced workers on skill or knowledge development**

Academy Field-Based Trainers from all counties have reported challenges in engaging experienced workers in utilizing Field-Based Training services within their current assignments. Common challenges include:

- Perceptions by experienced workers that being assigned to work with a Field-Based Trainer means their supervisor or manager has a concern about performance or ability of the worker rather than providing them with an opportunity to expand or deepen skills and knowledge;
- Time constraints and workload demands combined with misperceptions about the need to “set time aside” to work with a Field-Based Trainer rather than using a transfer-of-learning model of “learning while doing,” and;
- Lack of recognition by workers of the long-term learning curve that is part of mastering Child Welfare practices and procedures.

New training regulations now require that each Child Welfare Services worker obtain 40 hours of continuing education in Child Welfare Services knowledge and skill areas within each two-year period beginning July 1, 2008. These

regulations provide an opportunity to use Field-Based for obtaining these hours within the work environment.

Working with experienced workers requires a different approach to conducting learning needs assessment that engages experienced workers in setting their own learning goals based upon their own, their supervisor's and cross-system colleague's assessment of their strengths and learning needs.

Additionally, it is important that the Field-Based Trainer engage in clear and proactive communication with supervisors and managers as well with as the assigned worker to define clear learning goals and skills development areas as well as the process for documenting and providing feedback on observations and progress on objectives.

When working with experienced staff, Field-Based Trainers should engage in their own learning development through the use of evidence-based web information and professional publications. This would provide additional value to deepen the experienced worker's knowledge and skill level regarding best current practice.

From time to time, supervisors and managers will request services of the Field-Based Trainer for an experienced worker who is having performance concerns or who is actively in a process of progressive discipline. In these situations, workers are often aware of the reasons why the Field-Based Trainer has been referred to work with them and may need to process feelings and concerns related to the situation prior to being able to engage in effective learning.

## **Building mentoring relationships with supervisors as trainees**

### **New supervisors**

Often, in child welfare, new supervisors rise from the ranks of social workers based on their excellent work in the field. As a worker, the individual was confident in his or her ability to get things done independently, working with resources in the community.

However, the role of supervisor requires a significantly different set of skills. The new supervisor must step out of the role of “doer” and assume a variety of new roles including those of teacher, administrator, mentor, coach, team builder, community relationship builder and cheerleader. The role of the FBT is to work with the new supervisor in the workplace to develop the leadership qualities necessary for success.

New supervisors attend the Supervisor Core Module that is offered through the Academy. During the module, they are introduced to the new role they will play and are able to do some self-reflection as to what they may need to work on in order to develop a good working relationship with their team and their managers. Additionally, the Supervisor Core training encourages the new supervisors to interact with new supervisors from other counties. This allows them to see their new role from different perspectives and to develop a camaraderie that will be of benefit as they move on into their position.

The FBT meets with the new supervisors before each Core session to discuss what will be covered and, after the session, process ideas generated from the training. Supervisors are encouraged to put into practice the tools they have learned.

The FBT helps the new supervisors set up a schedule of regular one-on-one supervision with each of their workers as well as monthly unit meetings. The FBT explains the structure of the organization so that the new supervisors can understand their particular role in the organization and be better able to participate fully in organizational decisions and advocate for staff.

The FBT continues to meet with the new supervisor on at least a monthly basis for one year. These sessions provide the new supervisors a forum to share their challenges and work on developing strength-based solutions that will move their teams forward.

The FBT is also in communication with the manager of the supervisor. At the beginning of the working relationship, the FBT, manager and new supervisor meet together to discuss learning objectives for the new supervisor. A set of learning objectives is decided upon jointly by the manager and the new supervisor. A learning objectives agreement may be drawn up and each party receives a copy. The agreement will serve as a road map from which the FBT and the new supervisor's work. The FBT, manager and supervisor meet on a regular basis to discuss progress toward learning objectives and as those are met, new goals may be introduced.

### **Reassigned supervisors**

Reassigned supervisors are familiar with the organizational structure and usually have already attended the Supervisor Core Module. However, the reassignment is a good time to reinforce the roles that supervisors play as set forth in the section on new supervisors. It is also an important time to ensure that the newly-reassigned supervisors are familiar with the responsibilities of their new assignments and understand the statutory and regulatory mandates for the programs.

The FBT meets with the reassigned supervisors and their managers to discuss what learning objectives they consider appropriate. Often the learning objectives will center around learning more about the programs they are about to supervise and gaining understanding about the ways to supervise new personalities.

The FBT meets with the reassigned supervisor on a regular basis to work on the learning objectives developed with the manager. The FBT provides resources and recommends trainings that would benefit the reassigned supervisor.

### **Experienced supervisors (new to agency, or needing/wanting skill development)**

As with reassigned and new supervisors, the FBT provides training in the many roles of the supervisor. Training level is dependent on the needs and receptiveness of the individual.

The FBT works with supervisors new to the agency by first helping them to understand the structure of the organization and what roles they play in the organization. Since each CWS agency practices somewhat differently, the FBT will also assist supervisors new to the agency to understand specific county protocols. The FBT meets with each supervisor and the supervisor's manager to develop a learning objective plan that includes both skill-building and greater understanding of the goals and visions of the agency. The FBT encourages the

new supervisor to attend committee meetings that might facilitate their integration into the agency.

Supervisors new to the agency may also be new to the specific programs they are supervising. The FBT is then instrumental in training the supervisors in specific knowledge and skills necessary for the program. The FBT may do one-on-one training, group training or may refer the supervisor to scheduled trainings.

## **New staff orientation to Academy curricula and subject matter training topics**

In working with new staff, the Field-Based Trainer must work in collaboration with county administration, managers, supervisors and staff development to ensure that the training needs of new social workers are being met.

### **Working with new staff members:**

In most counties, new workers are hired as part of a large or small group. Field-Based Trainers works with their county liaison to identify timing and format of beginning work with newly hired trainees. Some counties have an integrated approach to induction training and field-based Transfer-of-Learning that will require a coordinated effort at scheduling classroom and field training days.

The Field-Based Trainer will identify the education and work experience levels of new trainees, as well as their identified unit and program assignments, if known.

The Field-Based Trainer communicates with prospective supervisors regarding learning objectives for any field-based training and agrees on roles and responsibilities of the Field-Based Trainer in working within the unit. The Field-Based Trainer takes time to meet with the supervisor regarding the processes for working with the staff member.

Working from the Individual Training Needs Assessment, the Field-Based Trainer will work with the new social worker to develop three learning objectives for their personal Total Action Plan. The Needs Assessment and Action Plan are directly correlated to the upcoming Core training topic.

Once the trainee has attended a classroom training, the Field-Based Trainer will follow up with the worker to discuss their individual learning objectives and develop a strategy for implementing the new information and skills into casework practice.

### **Beginning to work with new line staff:**

When a new line staff member is assigned to the Field-Based Trainer, the FBT makes initial contact to explain the roles and responsibilities of the FBT's position. In some counties, the FBT may provide a standardized Academy orientation.

In coordination with the county liaison, schedule individual training sessions for new workers. When groups of new workers are hired at the same time, the FBT may organize and facilitate group-learning as well as individualized sessions.

When providing new staff with an overview of the Academy training curricula, the FBT covers the following topic areas with new staff:

- Roles and responsibilities of the Regional Training Coordinators
- Policies and procedures of the Academy Core
- Classroom expectations
- Training calendar
- Role and Responsibilities of the Field-Based Trainers with Social Workers
- Review of core training topics
- Review and explain the importance of the Individual Training Needs Assessment
- Review and explain the importance of the Total Action Plan tool
- Review and explain core training activities

<b>Central California Training Academy Core Curriculum</b>	
Framework	Worker Safety in Child Welfare Practice
CWS Practice in a Multi-Cultural Environment	Time Management and Stress Management
Values and Ethics	Health Care Needs
ICWA	Supporting Educational Rights and Achievements
MEPA – Multi-Ethnic Placement Act	Mental Health Issues in Child Welfare Services
Child and Youth Development	Court Procedures
Child Maltreatment Identification Part I	Child Welfare Service Documentation
Child Maltreatment Identification Part II	Family Engagement in Case Planning
Basic Interviewing	CWS/CMS Component- Case Planning
Critical Thinking: Safety, Risk and Protective Capacity	CWS/CMS
Domestic Violence	Placement and Permanency
Caregiver Substance Abuse and Child Welfare Practice	

**Subject Matter Discussion Topics (Optional- County Specific)**

Many counties may provide foundational training topics through their Agency Induction Training. Depending on county needs, the Field-Based Trainer may cover optional subject matter areas to substitute for this county-specific induction training. A comprehensive outline of learning points to be covered in each of the optional topic areas can be located in Section X, Appendix.

## **Working as a Field-Based Trainer with groups**

Field-Based Trainers most often provide individualized transfer-of-learning and training services, one worker or supervisor at a time. The Field-Based Trainer also incorporates the use of focused group learning sessions to deliver new or updated information and skills to workers and/or supervisors.

In creating group Transfer-of-Learning sessions, the Field-Based Trainer should work with the county liaison, unit supervisor, staff development trainer or other agency staff member to identify the group learning needs and to develop a set of agreed upon learning objectives.

The Field-Based Trainer must then develop a curriculum outline and/or handouts as well as transfer-of-learning applications that will provoke group discussion. The most effective sessions can be conducted in coordination with regularly scheduled unit or regional meetings and are time-limited and sharply focused.

The content of each group training session is developed around specific learning objectives that are identified on the group training sign-in sheet. Participants at the training must be recorded on the Field-Based Training sign in sheet in order to assure that participants receive credit for the training hours.

## **Section VI: Documentation Processes of the Field-Based Trainer**

# Documenting work hours and training activities

## Attendance Sheets and Time Vouchers

Depending on the full- or part-time status of the Field-Based Trainer, each employee is expected to document their work hours on the Foundation's Attendance Sheet (for full-time workers) or Temporary Help Time Voucher (for part-time workers) as required according to the Foundation's pay schedules.

These signed time sheets must be submitted in their original form to the Transfer-of-Learning/Leadership Specialist via hand delivery or U.S. Mail. Photocopies and facsimile copies are not accepted by the Foundation.

Once reviewed and approved by the Transfer-of-Learning/Leadership Specialist, the time sheets are forwarded to the Academy office manager for processing and submission for payment.

Field-Based Trainers should refer to Academy policies and procedures for appropriate completion of these forms and for a schedule of payroll.

## Field-Based Trainer Activity Reports

Field-Based Trainers are required to document their activities via monthly activity reports. Reports are to be completed via Word application and can be submitted via electronic mail.

Forms being used by Field-Based Trainers for Academy documentation are described below:

- Each Field-Based Trainer should maintain a Field-Based Daily Training Activity Log that specifies the trainees' names and learning objectives, as well as total hours of learning sessions, on a daily basis and submit this completed report at the end of each month.
- Additionally, each Field-Based Trainer should maintain a Field-Based Training Non-Training Activity Log to record charged time that was not used in the provision of direct training services and submit this completed report monthly.
- When providing training for groups, the Field-Based Trainer should have participants sign the Field-Based Trainer Group Sign-In Sheet and provide

at least one written learning objective that describes the focus of the training session. These reports should be submitted monthly.

- The Field-Based Trainer should complete Case Notes for their training sessions and maintain them in the FBT's file. When appropriate, submit them to the Transfer-of-Learning/Leadership Specialist for review.
- When any unusual incident occurs during the course of training sessions, the Field-Based Trainer should complete a Field-Based Training Incident Report that documents the situation and submit this report to the Transfer-of-Learning/Leadership Specialist.

## **Field-Based Trainer Forms**

### **FBT Daily Training Log:**

Purpose: To track training hours and learning objectives for individual sessions with CWS staff that will be recorded as training hours by the Academy. (FBT to provide objectives on form; example provided).

### **FBT Group Training Log:**

Purpose: To track training hours of CWS staff in a group training setting provided by FBT (FBT to provide executive summary on log; example provided). These group training hours also count toward the worker's required continuing education hours.

### **FBT Monthly Non-Training Activity Log:**

Purpose: To track FBT non-training activities such as attendance at staff meetings, supervision with the Transfer-of-Learning/Leadership Specialist, completion of paperwork or transportation time to training assignments.

### **FBT Case Log (Page 1 and 2):**

Purpose: To keep track of individual meetings that takes place between FBT and CWS staff.

### **FBT Incident Reporting Form:**

Purpose: To document any actions that take place in work with FBTs and CWS staff that may affect legal, ethical or standard of practice concerns.

### **Process for completion of Field-Based Trainer Forms:**

1. Complete FBT Daily Training Log, FBT Group Training Log and FBT Monthly Non-Training Activity Log via the computer on a monthly basis.
2. Forward the above referenced forms by the 5<sup>th</sup> of the following month via email to Academy Office Manager with a copy to the Curriculum/Evaluation and Training Specialist and to the Transfer-of-Learning/Leadership Specialist.

3. Curriculum/Evaluation Specialist will review FBT Daily Training Log, FBT Group Training Log for completion and accuracy.
4. Any questions will be forwarded to FBTs with a carbon copy to the supervisor for clarification.
5. Completed FBT forms will be forwarded to clerical staff to input into CCTA Tracking System.
6. Copies of FBT training forms will be filed with CCTA training documentation.
7. All FBT training information will be included in training reports to CCTA staff and counties.
8. Forward a copy of the FBT Daily Training Log and FBT Group Training Log to FBT's County Liaison for tracking purposes.
9. Complete FBT Case Log when working with CWS staff and file in secure and confidential area.
10. Complete FBT Incident Reporting Form when appropriate. File in a secure and confidential location and forward to Transfer-of-Learning/Leadership Specialist.

**Central California Training Academy**  
**"Serving Those Who Serve Others"**  
**FBT Daily Training Log**

Month: \_\_\_\_\_  
 Year: \_\_\_\_\_

FBT: \_\_\_\_\_  
 County: \_\_\_\_\_

<b>Course No.</b>	<b>Date</b>	<b>TRAINEE NAME</b>	<b>Job Title</b>	<b>Learning Objective</b>	<b>Hrs.</b>	<b>Total Hrs. by Wkr</b>
D001			<input type="checkbox"/> SW <input type="checkbox"/> Sup <input type="checkbox"/> Other			
D001			<input type="checkbox"/> SW <input type="checkbox"/> Sup <input type="checkbox"/> Other			
D001			<input type="checkbox"/> SW <input type="checkbox"/> Sup <input type="checkbox"/> Other			
D001			<input type="checkbox"/> SW <input type="checkbox"/> Sup <input type="checkbox"/> Other			
D001			<input type="checkbox"/> SW <input type="checkbox"/> Sup <input type="checkbox"/> Other			
D001			<input type="checkbox"/> SW <input type="checkbox"/> Sup <input type="checkbox"/> Other			
D001			<input type="checkbox"/> SW <input type="checkbox"/> Sup <input type="checkbox"/> Other			
				<b>TOTAL HOURS MONTHLY FIELD TRAINING</b>		

**CENTRAL CALIFORNIA TRAINING  
ACADEMY**

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Page:	_____ of _____	Training Dates:	_____
Course #:	_____	Training / Course Title:	_____
New Course?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Total Hours:	_____
FBT:	_____	Co-trainer:	_____
Location:	_____	Donated Space?	Yes <input type="checkbox"/> No <input type="checkbox"/>

NAME	Day 2	Position Code**	COUNTY	AGENCY	EXECUTIVE SUMMARY OF TRAINING:
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				
	<input type="checkbox"/>				

**\*\*Position Codes:** Manager (MGR); Social Worker Supervisor (SWS); Social Worker (SW); Case Aide (CA); Other (O)

**Central CA Training Academy  
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**Field Based Trainer Monthly Non-Training Activity Log**

**Month/Year** \_\_\_\_\_

**Field Based Trainer:** \_\_\_\_\_

Date	Duration	Activity	NOTES
		<input type="checkbox"/> County Training Meeting <input type="checkbox"/> Professional Development <input type="checkbox"/> PQCR/SIP Meeting <input type="checkbox"/> CCTA Training Observation <input type="checkbox"/> FBT Evaluation Meeting <input type="checkbox"/> FBT Documentation <input type="checkbox"/> CCTA FBT Meeting <input type="checkbox"/> FBT/TOLS Conference <input type="checkbox"/> CCTA Staff Meeting <input type="checkbox"/> Other: _____	
		<input type="checkbox"/> County Training Meeting <input type="checkbox"/> Professional Development <input type="checkbox"/> PQCR/SIP Meeting <input type="checkbox"/> CCTA Training Observation <input type="checkbox"/> FBT Evaluation Meeting <input type="checkbox"/> FBT Documentation <input type="checkbox"/> CCTA FBT Meeting <input type="checkbox"/> FBT/TOLS Conference <input type="checkbox"/> CCTA Staff Meeting <input type="checkbox"/> Other: _____	
		<input type="checkbox"/> County Training Meeting <input type="checkbox"/> Professional Development <input type="checkbox"/> PQCR/SIP Meeting <input type="checkbox"/> CCTA Training Observation <input type="checkbox"/> FBT Evaluation Meeting <input type="checkbox"/> FBT Documentation <input type="checkbox"/> CCTA FBT Meeting <input type="checkbox"/> FBT/TOLS Conference <input type="checkbox"/> CCTA Staff Meeting <input type="checkbox"/> Other: _____	
		<input type="checkbox"/> County Training Meeting <input type="checkbox"/> Professional Development <input type="checkbox"/> PQCR/SIP Meeting <input type="checkbox"/> CCTA Training Observation <input type="checkbox"/> FBT Evaluation Meeting <input type="checkbox"/> FBT Documentation <input type="checkbox"/> CCTA FBT Meeting <input type="checkbox"/> FBT/TOLS Conference <input type="checkbox"/> CCTA Staff Meeting <input type="checkbox"/> Other: _____	
		<input type="checkbox"/> County Training Meeting <input type="checkbox"/> Professional Development <input type="checkbox"/> PQCR/SIP Meeting <input type="checkbox"/> CCTA Training Observation <input type="checkbox"/> FBT Evaluation Meeting <input type="checkbox"/> FBT Documentation <input type="checkbox"/> CCTA FBT Meeting <input type="checkbox"/> FBT/TOLS Conference <input type="checkbox"/> CCTA Staff Meeting <input type="checkbox"/> Other: _____	
		<b>TOTAL MONTHLY HOURS</b>	





**Central California Training Academy**  
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**Field Based Trainer (FBT) Incident Reporting Form**

*This form is intended to document any actions that take place in the work of the CCTA FBTs and County staff that may affect the legal, ethical, or standard of practice concerns during the Field Based Trainer / county staff working relationship. The FBT will address these concerns with the social worker and the social worker's supervisor as appropriate, as well as the FBT's supervisor.*

***Presenting Incident:***

***Individuals Involved in Incident:***

***Recommendations / Follow Up Provided:***

***Date:*** \_\_\_\_\_

\_\_\_\_\_  
***FBT Signature***

\_\_\_\_\_  
***FBT Name***

## Sample Executive Summary For Group Trainings

### Course Title: 3 Diagnoses Commonly found in Foster Care Children

#### Course Description:

This 1 day training will focus on three diagnoses commonly found in children who are placed in foster care: Post-Traumatic Stress Disorder, ADHD, and Depression. The training will utilize didactic discussion, exercises and activities, and video presentations to convey the concepts. Interventions and strategies for foster parents and case workers will be discussed. Emphasis will be placed on how to communicate positively and accurately with caregivers regarding the needs of children with these diagnoses.

#### Target Audience:

The training will be of interest to individuals: new to the field, looking for interventions and strategies, and anyone looking to further their understanding of these diagnoses.

#### Outcome Objectives:

As a result of this training participants will...

1. list symptoms of PTSD, depression, and ADHD
2. identify coping strategies and interventions for ADHD, PTSD, and depression
3. distinguish between each of the diagnostic pictures
4. rule out differential diagnoses for each diagnosis
5. develop communication strategies for talking with caregivers
6. examine the interrelatedness of factors associated with PTSD, ADHD, and depression

#### Before the training supervisors can:

- review the objectives with the staff member to help the staff member focus on areas for their development
- ask the staff member to share information with the rest of the team upon their return

#### After the training supervisors can:

- review the information for compatibility with agency expectations
- review in supervision with the staff member the information as applied to specific cases
- discuss further training needs or formats with the supervisee which could support the process of family evaluations

## **Quarterly and Annual Field-Based Training Reports**

Central California Training Academy is required to report the activities and statistics associated with its training and transfer-of-learning for providing funding and oversight of Academy mandates.

As a result, Field-Based Trainers are expected to provide a-quarterly report that describes the number of hours, numbers of workers and supervisors trained during the period, training topic areas and activities provided during the reporting period.

Quarterly reports are due on the 15<sup>th</sup> of the month following the end of each quarter (Fiscal year quarters: Quarter 1: July 1-September 30, Quarter 2: October 1-December 31, Quarter 3: January 1-March 31 and Quarter 4: April 1-June 30.) Reports should be submitted electronically to the Academy office manager with a copy to the Transfer-of-Learning/Leadership Specialist.

The annual report is due on July 15, following the end of the fiscal year and should be submitted to the Academy office manager and Transfer-of-Learning/Leadership Specialist.

Examples of typical quarterly and annual reports are included in this section.

# SAMPLE QUARTERLY REPORT

## Name Your County

### Your Name

### Child Welfare Services Field-Based Trainer

From July 1, 2008 through September 30, 2008, the Your County field-based trainer provided 114.5 hours of individual and group field-based training services to 9 Child Welfare Services protective services workers and practitioners and one CWS supervisor. Focus included reinforcing new skill development of newer staff that had joined their units during the previous quarter and introducing new staff to Child Welfare social work skills and competencies while working in the training unit.

#### **The following field-based training services were provided:**

- Caseload consultation
- Education/training
- Caseload discussion
- Live supervision
- Demonstration
- Modeling
- Coaching during crisis
- Transfer-of-Learning learning activities related to Core training

The focus of the field-based training services were to assist social workers and practitioners in the development of new supervisor orientation, conducting unit meetings, staff performance assessment, performance evaluation reports, caseload review, caseload organization and time management skills, interviewing and case planning skills as well as the ability to conduct field visits to assess risk and services delivery and complete Assessment and Investigation evaluation. The field-based trainer worked with staff to build competency in the preparation of quality of care documentation, court reports at all stages of a case, case plans and associated documents, the field-based trainer worked individually with staff to develop CWS/CMS computer application skills. Field-based trainer worked with staff on implementation of appropriate visitation plans and placement plans, as well as interventions related to missing clients, inter-county transfers, and obtaining consent for child medical procedures. The

field-based trainer also worked with staff members to assist them in transferring assignments as needed during the quarter.

Also part of the quarter activities were meetings with county Staff Development and CWS leadership to increase the Field-Based trainer's time from .25 to .5 FTE and to identify areas of increased role and responsibility.

## **SAMPLE ANNUAL REPORT**

### **Name Your County**

#### **Your Name**

#### **Child Welfare Services Field-Based Trainer**

In the fiscal year 2007-08 (July 1, 2007 and June 30, 2008) the Your County field-based trainer provided 284 hours of individual and group field-based training services to 66 Child Welfare Services protective services workers, practitioners and supervisors. In addition to individual field-based training and coaching, the field-based trainer provided classroom facilitation and Transfer-of-Learning to units on reviewing case content, gathering information and preparing for court reports. Focus of attention was bringing new staff members up to competency as they joined their units in the fall of 2007 and spring of 2008. In addition, the field-based training supported large changes in worker assignments in response to unit reorganization and filling of critical vacancies.

#### **The following field-based training services were provided:**

- Caseload consultation
- Education/training
- Caseload discussion
- Live supervision
- Demonstration
- Modeling
- Coaching during crisis
- Transfer-of-Learning activities related to Core training

The focus of the field-based training services were to assist social workers and practitioners in the development of caseload review, caseload organization and time management skills, interviewing and case planning skills as well as the ability to conduct field visits to assess risk and services delivery and complete Assessment and Investigation evaluation. The field-based trainer worked with

staff to build competency in the preparation of quality of care documentation, court reports at all stages of a case, case plans and associated documents, the field-based trainer worked individually with staff to develop CWS/CMS computer application skills. In addition, the field-based trainer provided training and coaching during crisis management and assisted staff in learning procedures and documentation related to Medi-Cal billing for System of Care services. Field-based trainer worked with staff on implementation of appropriate visitation plans and placement plans, as well as interventions related to missing clients, inter-county transfers, and obtaining consent for child medical procedures. Considerable time and attention was given to working with staff to assess missing elements of legal processes needed for achieving permanency, making thoughtful decisions about placement based upon prognosis of reunification and concurrent planning. ICWA compliance issues also became an important focus as staff adjusted to new noticing forms and procedures as well as additional scrutiny from the Juvenile Court and County Counsel. The field-based trainer also worked with staff members to assist them in transferring assignments as needed during the quarter.

The field-based trainer worked in coordination with the Child Welfare Services training supervisor, CWS and Staff Development Division Managers and the supervisors of staff to conduct needs assessment and training plans for assigned staff members.

## **Documenting CEU's as a Field-Based Trainer**

The time workers spend in learning sessions with Field-Based Trainers may be eligible as part of the bi-annual Continuing Education Unit (CEU) requirements under training regulations established July 1, 2008.

In order for these sessions to qualify as CEUs, the Field-Based Trainer must provide a written learning objective that summarizes the learning or skill development focus of the session and provides an accurate accounting of the time spent in training.

In order for this time to be credited to the worker, the Field-Based Trainer must document the learning session on the FBT Daily Training Activity Log and submit the log to the Transfer-of-Learning/Leadership Specialist.

The FBT will send these reports, via email, to the Transfer-of-Learning/Leadership Specialist, Curriculum Specialist and Officer Manager Academy staff for entry into the training hours database. Each county receives a periodic report of trainees who have received training hours from the Academy via classroom or Field-Based training.

## **Documenting Trainee Sessions**

At a minimum, the Field-Based Trainer will document trainee sessions using the approved Field-Based Training report forms that include a Daily Training Log with trainee's name, specific learning objective and date and total time of the training session.

Group training should be recorded on the Group Training Log.

Ongoing work with trainees should be documented on training case logs and kept as part of the FBT's confidential records.

Unusual incidents should be recorded on a FBT incident report and forwarded to the Transfer-of-Learning/Leadership Specialist.

County liaisons are typically provided with copies of the FBT daily training logs and group training logs.

In some counties, additional county reports may be required when FBT services are being provided on a county contract basis.

## What belongs in a Field-Based Trainer's File

Each Field-Based Trainer should maintain records of their work with individual trainees. Records of training sessions with individual trainees may include:

- Total Action Plans
- Individual Training Needs Assessments
- Case log record of dates, times and learning objectives addressed during training sessions
- Summary of areas of development of knowledge and skill to be addressed
- Record of dates when feedback is provided to supervisors and/or county liaisons
- Copies of any case documentation provided to the county
- Copies of worker specific incident reports

## **Guidelines for providing the county agency with performance documentation**

Periodically, written documentation regarding the observations of the Field-Based Trainer of worker behaviors, knowledge, skills or practices is requested as part of evaluating employee performance.

The Field-Based Trainer must balance the preservation of effective mentoring and coaching relationship with workers and supervisors with the right of the agency to request and obtain input on the in-person observation of the staff member's performance for the purposes of their evaluation.

Efforts should be made to craft documentation based upon specific observations and recommendations regarding learning needs and skills assessment. It is important to remember that it is not the Field-Based Trainer's role to make a recommendation regarding any employee's status with the agency.

Prior to providing any written documentation about specific performance issues, the Field-Based Trainer should make contact with the Transfer-of-Learning/Leadership Specialist to discuss the content and form of the documentation and the written documentation should be reviewed by the Transfer-of-Learning/Leadership Specialist or Academy Director (in the absence of the Transfer-of-Learning/Leadership Specialist) prior to submission to the county agency.

## **Section VII: Code of Ethics and Training Standards**

# **Ethical principles of the Field-Based Trainer**

*(Concepts adapted from the International Coach Federation Code of Ethics)*

## **Working Relationships with Trainees**

- Field-Based Trainers engage in a collaboratively and individually developed productive partnership with staff that supports the growth and development of the staff member's best professional potential. Field-Based Trainers will develop these relationships in accordance established Academy principles.
- These partnerships may be formed at the request of the Agency, the staff member and/or their supervisors and agreements should be made regarding the roles, responsibilities and expectations of the relationship.

## **Ethical Standards for Professional Conduct**

Academy Field-Based Trainers will:

- Strive to conduct themselves in a manner, both professionally and personally, that reflects positively upon the Academy, the county, the social work profession and the field-based training or coaching profession.
- Recognize their own responsibility to abide by all applicable federal, state and county laws and regulations that govern the practice and field of Child Welfare Services and social work.
- Make accurate statements regarding their roles as transfer-of-learning specialists within the profession and provide accurate statements regarding professional and training qualifications, expertise and licensing as Child Welfare and training professionals.
- Strive to recognize and address any personal issues of the Field-Based Trainer that may conflict or interfere with his or her roles and responsibilities as a trainer and will seek professional help to resolve these issues. When necessary, the Field-Based Trainer will take action to suspend or terminate any trainee relationship during this period.
- Share evidence-based information and practices with appropriate attributions and within relevant scope of practice.

- Maintain, store and dispose of any records in a manner that promotes confidentiality and privacy and in keeping with applicable federal, state and county laws, regulations and standing orders of the court.
- Have clear agreement about how information will be exchanged between staff member, supervisor and the agency.
- Abide by the same federal, state and county laws and regulations of Child Welfare practice regarding confidentiality and information sharing of private family information.

## **Conflict of Interest**

Field-Based Trainers will strive to:

- Recognize, report and avoid any potential conflicts of interests. The Field-Based Trainer will seek appropriate consultation with the Field-Based Trainer's immediate supervisor or other professional resources as appropriate regarding any conflict of interest issue. When the potential conflict involves case-specific issues, the Field-Based Trainer may need to consult with the Child Welfare Services supervisor responsible for the case.
- Avoid dual relationships such as business partnerships, friendships or intimate relationships with trainees that would impair or damage the training partnership.

## **Relationship with Trainee**

Field-Based Trainers will:

- Always strive to provide accurate and ethical information within a training session.
- Defer all case-related decision-making to the staff person and his or her supervisor and offer personal or professional advice or recommendations that are within their scope of knowledge and practice.
- Honor developed agreements with the staff member and his or her supervisor or agree to explicitly re-negotiate these agreements when necessary.
- Clearly explain the nature of the training partnership, the nature and limits of confidentiality and any other terms of the training contract.
- Be responsible for setting clear, appropriate and culturally sensitive boundaries in their relationships with staff members. Field-Based Trainers will be conscious of setting appropriate boundaries when making any physical contact with staff persons.
- Avoid any sexual intimacy with individuals with whom they are currently or recently engaged in a training partnership.

- Recognize the staff person's or agency's right to terminate a training partnership and be proactive in recognizing when a staff person is no longer benefiting from the relationship.
- Discuss with their supervisor any circumstances in which they feel that the staff person would be better served by another FBT or training resource.
- Refer the staff member to seek services of other professionals that will support their professional development.

## **Ethical operating values when working with families**

*(Source: Adapted from Helping in Child Protective Services: A Competency-Based Casework Handbook)*

### **Belief in the right of each person to be unique and individual**

Each human being has the right to be a unique individual. Every client should be treated with respect as a human being with personal differences and cultural characteristics.

### **Family-centered, strengths-based engagement**

Listening in a purposeful way supports the family's process of exploring their situation interactively and making decisions about what goals they want to act upon.

### **Empathy**

The human service professional should engage in expressions of understanding and empathy. Engage in an interpersonal process of "feeling with, but staying separate" from the other person.

### **Maintaining dignity and communicating respect**

Acknowledging and affirming each family member's dignity and self-worth is central to working effectively in human services. Acceptance does not necessarily involve approving. Communicating acceptance lowers the level of resistance in communication and creates an interpersonal atmosphere of safety.

### **Acceptance and tolerance**

Your accumulation of life experiences, background characteristics, values and ideas are different from virtually every other person. Learn to practice openness to the varying experiences of others and operate from a neutral stance.

### **Empowerment of family choices and self-determination**

Empowerment is the ability of each person to recognize and act upon his or her own potential and capability. Each person has the right and need to be free to make choices, decisions and to respond to consequences of these choices. A

helping professional needs to respect that right and support activation of that potential.

## **Confidentiality**

Our individual right to privacy is a Constitutionally-based liberty interest. Learning the appropriate practices for maintaining privacy and discretion regarding information obtained during the interaction is essential to developing trust.

## **Professional self-awareness**

Knowing and understanding yourself and your reactions to your interactions in the field and in the work setting are key to being able to deliver on the other rules of practice. You need to be able to recognize with accuracy how you are reacting to the outside world and how others react to you and strive for self-understanding. The better you understand yourself, the more likely it is that you will be able to control and direct your behavior.

### **NASW Core Values**

- **Service**
- **Social Justice**
- **Dignity and worth of the person**
- **Importance of human relationships**
- **Integrity**
- **Competence**

# **National Association of Social Workers Code of Ethics**

In 1996, the National Association of Social workers adopted a set of ethical principles that guide the obligations and duties of the human services social worker. These principles are one component of ethical decision-making that must work in concert with consistent application of an ethical decision-making process.

## **Conduct and behavior of the social worker:**

- Your reputation precedes you: Maintain high standards of personal conduct in your capacity as or identification as a social worker.
- Demonstrate your professional competence in practice and show a commitment to ongoing professional development.
- The primary focus of the social worker is service to family, agency and community.
- Demonstrate integrity and sound moral behavior in all your professional actions
- Practice using evidence-based approaches that have sound research basis.
- Social workers need to demonstrate cultural competence and deliver services in a fair and equitable fashion.

## **Responsibility to children and their families:**

- The overriding priority for the social worker is to the youth and family over other stakeholders.
- The social worker should act in a manner that supports the family's self-determination and right to make their own choices and decisions.
- Privacy of the children and their families should be protected and respected during the course of professional service and services should be provided in a manner that assures informed consent.
- Families should have reasonable access to information and records regarding their services.

## **Responsibility to colleagues and community partners**

- All colleagues should be treated with fairness, respect, courtesy and responsiveness in the course of their professional duties.

- Social workers who are members of collaborative teams should contribute and participate earnestly in these teams in order to affect a positive outcome for the family and to further the social work profession.
- Social workers should seek the advice and consultation of other colleagues if in the best interests of clients.
- The social worker should engage with a colleague's client in a manner that safeguards the colleague's professional dignity.
- The social work should take action to recognize and address the impairment or incompetence of practice or unethical behavior of a colleague.

### **Responsibility to agency**

- The social worker should earnestly and consistently engage in a professional supervisory relationship related to casework completed on behalf of the agency.
- The social worker should regularly participate in education and training as part of building professional competence and expertise
- Social workers should assure that client records and documentation are timely, accurate and reflective of the quality of care provided on behalf of the agency
- Social workers should actively advocate within and outside their agency for adequate resources for families and engage in resource allocation processes that are faire and equitable
- Social workers should work to improve employing agencies policies, procedures and practices and address ethical obligations of the organization.

### **Responsibility to the profession**

- Social workers should engage in work within their scope of competence and strive to remain proficient in the performance of their professional duties.
- Social workers should uphold and advance the values, ethics, knowledge and mission of the profession.
- Social workers should contribute to the knowledge and resource base of the profession.

## **Responsibility to society**

- Promote the general welfare of society, locally and globally and work toward achieving living conditions for all members of society that fulfills basic human needs and promotes social justice.
- The social worker should encourage and participate in informed public participation about social policies.
- The social worker should participate in providing services during public emergencies to their greatest possible ability.
- The social worker should engage in social and political advocacy and action that assures faire and equal access.

## **Code of Ethics** *of the National Association of Social Workers*

**Approved by the 1996 NASW Delegate Assembly and  
Revised by the 2008 NASW Delegate Assembly**

### **Preamble**

The primary mission of the social work profession is to enhance human wellbeing and help meet the basic human needs of all people, with particular attention to the needs and empowerment of people who are vulnerable, oppressed, and living in poverty. A historic and defining feature of social work is the profession's focus on individual well-being in a social context and the wellbeing of society. Fundamental to social work is attention to the environmental forces that create, contribute to, and address problems in living.

Social workers promote social justice and social change with and on behalf of clients. "Clients" is used inclusively to refer to individuals, families, groups, organizations, and communities. Social workers are sensitive to cultural and ethnic diversity and strive to end discrimination, oppression, poverty, and other forms of social injustice. These activities may be in the form of direct practice, community organizing, supervision, consultation administration, advocacy, social and political action, policy development and implementation, education, and research and evaluation. Social workers seek to enhance the capacity of people to address their own needs. Social workers also seek to promote the responsiveness of organizations, communities, and other social institutions to individuals' needs and social problems.

The mission of the social work profession is rooted in a set of core values. These core values, embraced by social workers throughout the profession's history, are the foundation of social work's unique purpose and perspective:

- service
- social justice
- dignity and worth of the person
- importance of human relationships
- integrity
- competence.

This constellation of core values reflects what is unique to the social work profession. Core values, and the principles that flow from them, must be balanced within the context and complexity of the human experience.

## Purpose of the NASW Code of Ethics

Professional ethics are at the core of social work. The profession has an obligation to articulate its basic values, ethical principles, and ethical standards. The *NASW Code of Ethics* sets forth these values, principles, and standards to guide social workers' conduct. The *Code* is relevant to all social workers and social work students, regardless of their professional functions, the settings in which they work, or the populations they serve.

The *NASW Code of Ethics* serves six purposes:

1. The Code identifies core values on which social work's mission is based.
2. The *Code* summarizes broad ethical principles that reflect the profession's core values and establishes a set of specific ethical standards that should be used to guide social work practice.
3. The *Code* is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.
4. The *Code* provides ethical standards to which the general public can hold the social work profession accountable.
5. The *Code* socializes practitioners new to the field to social work's mission, values, ethical principles, and ethical standards.
6. The *Code* articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints filed against its members.\* In subscribing to this *Code*, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.

The *Code* offers a set of values, principles, and standards to guide decisionmaking and conduct when ethical issues arise. It does not provide a set of rules that prescribe how social workers should act in all situations. Specific applications of the *Code* must take into account the context in which it is being considered and the possibility of conflicts among the *Code's* values, principles, and standards. Ethical responsibilities flow from all human relationships, from the personal and familial to the social and professional.

Further, the *NASW Code of Ethics* does not specify which values, principles, and standards are most important and ought to outweigh others in instances when they conflict. Reasonable differences of opinion can and do exist among social workers with respect to the ways in which values, ethical principles,

and ethical standards should be rank ordered when they conflict. Ethical decision making in a given situation must apply the informed judgment of the individual social worker and should also consider how the issues would be judged in a peer review process where the ethical standards of the profession would be applied.

Ethical decisionmaking is a process. There are many instances in social work where simple answers are not available to resolve complex ethical issues. Social workers should take into consideration all the values, principles, and standards in this *Code* that are relevant to any situation in which ethical judgment is warranted. Social workers' decisions and actions should be consistent with the spirit as well as the letter of this *Code*.

In addition to this *Code*, there are many other sources of information about ethical thinking that may be useful. Social workers should consider ethical theory and principles generally, social work theory and research, laws, regulations, agency policies, and other relevant codes of ethics, recognizing that among codes of ethics social workers should consider the *NASW Code of Ethics* as their primary source. Social workers also should be aware of the impact on ethical decision making of their clients' and their own personal values and cultural and religious beliefs and practices. They should be aware of any conflicts between personal and professional values and deal with them responsibly. For additional guidance social workers should consult the relevant literature on professional ethics and ethical decisionmaking and seek appropriate consultation when faced with ethical dilemmas. This may involve consultation with an agency-based or social work organization's ethics committee, a regulatory body, knowledgeable colleagues, supervisors, or legal counsel.

Instances may arise when social workers' ethical obligations conflict with agency policies or relevant laws or regulations. When such conflicts occur, social workers must make a responsible effort to resolve the conflict in a manner that is consistent with the values, principles, and standards expressed in this *Code*. If a reasonable resolution of the conflict does not appear possible, social workers should seek proper consultation before making a decision.

The *NASW Code of Ethics* is to be used by NASW and by individuals, agencies, organizations, and bodies (such as licensing and regulatory boards, professional liability insurance providers, courts of law, agency boards of directors, government agencies, and other professional groups) that choose to adopt it or use it as a frame of reference. Violation of standards in this *Code* does not automatically imply legal liability or violation of the law. Such

determination can only be made in the context of legal and judicial proceedings. Alleged violations of the *Code* would be subject to a peer review process. Such processes are generally separate from legal or administrative procedures and insulated from legal review or proceedings to allow the profession to counsel and discipline its own members.

A code of ethics cannot guarantee ethical behavior. Moreover, a code of ethics cannot resolve all ethical issues or disputes or capture the richness and complexity involved in striving to make responsible choices within a moral community. Rather, a code of ethics sets forth values, ethical principles, and ethical standards to which professionals aspire and by which their actions can be judged. Social workers' ethical behavior should result from their personal commitment to engage in ethical practice. The *NASW Code of Ethics* reflects the commitment of all social workers to uphold the profession's values and to act ethically. Principles and standards must be applied by individuals of good character who discern moral questions and, in good faith, seek to make reliable ethical judgments.

## **Ethical Principles**

The following broad ethical principles are based on social work's core values of service, social justice, dignity and worth of the person, importance of human relationships, integrity, and competence. These principles set forth ideals to which all social workers should aspire.

**Value:** *Service*

**Ethical Principle:** *Social workers' primary goal is to help people in need and to address social problems.*

Social workers elevate service to others above self-interest. Social workers draw on their knowledge, values, and skills to help people in need and to address social problems. Social workers are encouraged to volunteer some portion of their professional skills with no expectation of significant financial return (pro bono service).

**Value:** *Social Justice*

**Ethical Principle:** *Social workers challenge social injustice.*

Social workers pursue social change, particularly with and on behalf of vulnerable and oppressed individuals and groups of people. Social workers' social change efforts are focused primarily on issues of poverty, unemployment, discrimination, and other forms of social injustice. These

activities seek to promote sensitivity to and knowledge about oppression and cultural and ethnic diversity. Social workers strive to ensure access to needed information, services, and resources; equality of opportunity; and meaningful participation in decision making for all people.

**Value:** *Dignity and Worth of the Person*

**Ethical Principle:** *Social workers respect the inherent dignity and worth of the person.*

Social workers treat each person in a caring and respectful fashion, mindful of individual differences and cultural and ethnic diversity. Social workers promote clients' socially responsible self-determination. Social workers seek to enhance clients' capacity and opportunity to change and to address their own needs. Social workers are cognizant of their dual responsibility to clients and to the broader society. They seek to resolve conflicts between clients' interests and the broader society's interests in a socially responsible manner consistent with the values, ethical principles, and ethical standards of the profession.

**Value:** *Importance of Human Relationships*

**Ethical Principle:** *Social workers recognize the central importance of human relationships.*

Social workers understand that relationships between and among people are an important vehicle for change. Social workers engage people as partners in the helping process. Social workers seek to strengthen relationships among people in a purposeful effort to promote, restore, maintain, and enhance the wellbeing of individuals, families, social groups, organizations, and communities.

**Value:** *Integrity*

**Ethical Principle:** *Social workers behave in a trustworthy manner.*

Social workers are continually aware of the profession's mission, values, ethical principles, and ethical standards and practice in a manner consistent with them. Social workers act honestly and responsibly and promote ethical practices on the part of the organizations with which they are affiliated.

**Value:** *Competence*

**Ethical Principle:** *Social workers practice within their areas of competence and develop and enhance their professional expertise.*

Social workers continually strive to increase their professional knowledge and

skills and to apply them in practice. Social workers should aspire to contribute to the knowledge base of the profession.

## **Ethical Standards**

The following ethical standards are relevant to the professional activities of all social workers. These standards concern (1) social workers' ethical responsibilities to clients, (2) social workers' ethical responsibilities to colleagues, (3) social workers' ethical responsibilities in practice settings, (4) social workers' ethical responsibilities as professionals, (5) social workers' ethical responsibilities to the social work profession, and (6) social workers' ethical responsibilities to the broader society.

Some of the standards that follow are enforceable guidelines for professional conduct, and some are aspirational. The extent to which each standard is enforceable is a matter of professional judgment to be exercised by those responsible for reviewing alleged violations of ethical standards.

### **1. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO CLIENTS**

#### **1.01 Commitment to Clients**

Social workers' primary responsibility is to promote the wellbeing of clients. In general, clients' interests are primary. However, social workers' responsibility to the larger society or specific legal obligations may on limited occasions supersede the loyalty owed clients, and clients should be so advised. (Examples include when a social worker is required by law to report that a client has abused a child or has threatened to harm self or others.)

#### **1.02 Self Determination**

Social workers respect and promote the right of clients to self-determination and assist clients in their efforts to identify and clarify their goals. Social workers may limit clients' right to self determination when, in the social workers' professional judgment, clients' actions or potential actions pose a serious, foreseeable, and imminent risk to themselves or others.

#### **1.03 Informed Consent**

(a) Social workers should provide services to clients only in the context of a professional relationship based, when appropriate, on valid informed consent. Social workers should use clear and understandable language to inform clients of the purpose of the services, risks related to the services, limits to services

because of the requirements of a third- party payer, relevant costs, reasonable alternatives, clients' right to refuse or withdraw consent, and the time frame covered by the consent. Social workers should provide clients with an opportunity to ask questions.

(b) In instances when clients are not literate or have difficulty understanding the primary language used in the practice setting, social workers should take steps to ensure clients' comprehension. This may include providing clients with a detailed verbal explanation or arranging for a qualified interpreter or translator whenever possible.

(c) In instances when clients lack the capacity to provide informed consent, social workers should protect clients' interests by seeking permission from an appropriate third party, informing clients consistent with the clients' level of understanding. In such instances social workers should seek to ensure that the third party acts in a manner consistent with clients' wishes and interests. Social workers should take reasonable steps to enhance such clients' ability to give informed consent.

(d) In instances when clients are receiving services involuntarily, social workers should provide information about the nature and extent of services and about the extent of clients' right to refuse service.

(e) Social workers who provide services via electronic media (such as computer, telephone, radio, and television) should inform recipients of the limitations and risks associated with such services.

(f) Social workers should obtain clients' informed consent before audiotaping or videotaping clients or permitting observation of services to clients by a third party.

#### **1.04 Competence**

(a) Social workers should provide services and represent themselves as competent only within the boundaries of their education, training, license, certification, consultation received, supervised experience, or other relevant professional experience.

(b) Social workers should provide services in substantive areas or use intervention techniques or approaches that are new to them only after engaging in appropriate study, training, consultation, and supervision from people who are competent in those interventions or techniques.

(c) When generally recognized standards do not exist with respect to an

emerging area of practice, social workers should exercise careful judgment and take responsible steps (including appropriate education, research, training, consultation, and supervision) to ensure the competence of their work and to protect clients from harm.

### **1.05 Cultural Competence and Social Diversity**

(a) Social workers should understand culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.

(b) Social workers should have a knowledge base of their clients' cultures and be able to demonstrate competence in the provision of services that are sensitive to clients' cultures and to differences among people and cultural groups.

(c) Social workers should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

### **1.06 Conflicts of Interest**

(a) Social workers should be alert to and avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment. Social workers should inform clients when a real or potential conflict of interest arises and take reasonable steps to resolve the issue in a manner that makes the clients' interests primary and protects clients' interests to the greatest extent possible. In some cases, protecting clients' interests may require termination of the professional relationship with proper referral of the client.

(b) Social workers should not take unfair advantage of any professional relationship or exploit others to further their personal, religious, political, or business interests.

(c) Social workers should not engage in dual or multiple relationships with clients or former clients in which there is a risk of exploitation or potential harm to the client. In instances when dual or multiple relationships are unavoidable, social workers should take steps to protect clients and are responsible for setting clear, appropriate, and culturally sensitive boundaries. (Dual or multiple relationships occur when social workers relate to clients in more than one relationship, whether professional, social, or business. Dual or multiple relationships can occur simultaneously or consecutively.)

(d) When social workers provide services to two or more people who have a relationship with each other (for example, couples, family members), social workers should clarify with all parties which individuals will be considered clients and the nature of social workers' professional obligations to the various individuals who are receiving services. Social workers who anticipate a conflict of interest among the individuals receiving services or who anticipate having to perform in potentially conflicting roles (for example, when a social worker is asked to testify in a child custody dispute or divorce proceedings involving clients) should clarify their role with the parties involved and take appropriate action to minimize any conflict of interest.

### **1.07 Privacy and Confidentiality**

(a) Social workers should respect clients' right to privacy. Social workers should not solicit private information from clients unless it is essential to providing services or conducting social work evaluation or research. Once private information is shared, standards of confidentiality apply.

(b) Social workers may disclose confidential information when appropriate with valid consent from a client or a person legally authorized to consent on behalf of a client.

(c) Social workers should protect the confidentiality of all information obtained in the course of professional service, except for compelling professional reasons. The general expectation that social workers will keep information confidential does not apply when disclosure is necessary to prevent serious, foreseeable, and imminent harm to a client or other identifiable person. In all instances, social workers should disclose the least amount of confidential information necessary to achieve the desired purpose; only information that is directly relevant to the purpose for which the disclosure is made should be revealed.

(d) Social workers should inform clients, to the extent possible, about the disclosure of confidential information and the potential consequences, when feasible before the disclosure is made. This applies whether social workers disclose confidential information on the basis of a legal requirement or client consent.

(e) Social workers should discuss with clients and other interested parties the nature of confidentiality and limitations of clients' right to confidentiality. Social workers should review with clients circumstances where confidential information may be requested and where disclosure of confidential

information may be legally required. This discussion should occur as soon as possible in the social worker/client relationship and as needed throughout the course of the relationship.

(f) When social workers provide counseling services to families, couples, or groups, social workers should seek agreement among the parties involved concerning each individual's right to confidentiality and obligation to preserve the confidentiality of information shared by others. Social workers should inform participants in family, couples, or group counseling that social workers cannot guarantee that all participants will honor such agreements.

(g) Social workers should inform clients involved in family, couples, marital, or group counseling of the social worker's, employer's, and agency's policy concerning the social worker's disclosure of confidential information among the parties involved in the counseling.

(h) Social workers should not disclose confidential information to thirdparty payers unless clients have authorized such disclosure.

(i) Social workers should not discuss confidential information in any setting unless privacy can be ensured. Social workers should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.

(j) Social workers should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders social workers to disclose confidential or privileged information without a client's consent and such disclosure could cause harm to the client, social workers should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.

(k) Social workers should protect the confidentiality of clients when responding to requests from members of the media.

(l) Social workers should protect the confidentiality of clients' written and electronic records and other sensitive information. Social workers should take reasonable steps to ensure that clients' records are stored in a secure location and that clients' records are not available to others who are not authorized to have access.

(m) Social workers should take precautions to ensure and maintain the

confidentiality of information transmitted to other parties through the use of computers, electronic mail, facsimile machines, telephones and telephone answering machines, and other electronic or computer technology. Disclosure of identifying information should be avoided whenever possible.

(n) Social workers should transfer or dispose of clients' records in a manner that protects clients' confidentiality and is consistent with state statutes governing records and social work licensure.

(o) Social workers should take reasonable precautions to protect client confidentiality in the event of the social worker's termination of practice, incapacitation, or death.

(p) Social workers should not disclose identifying information when discussing clients for teaching or training purposes unless the client has consented to disclosure of confidential information.

(q) Social workers should not disclose identifying information when discussing clients with consultants unless the client has consented to disclosure of confidential information or there is a compelling need for such disclosure.

(r) Social workers should protect the confidentiality of deceased clients consistent with the preceding standards.

### **1.08 Access to Records**

(a) Social workers should provide clients with reasonable access to records concerning the clients. Social workers who are concerned that clients' access to their records could cause serious misunderstanding or harm to the client should provide assistance in interpreting the records and consultation with the client regarding the records. Social workers should limit clients' access to their records, or portions of their records, only in exceptional circumstances when there is compelling evidence that such access would cause serious harm to the client. Both clients' requests and the rationale for withholding some or all of the record should be documented in clients' files.

(b) When providing clients with access to their records, social workers should take steps to protect the confidentiality of other individuals identified or discussed in such records.

### **1.09 Sexual Relationships**

(a) Social workers should under no circumstances engage in sexual activities

or sexual contact with current clients, whether such contact is consensual or forced.

(b) Social workers should not engage in sexual activities or sexual contact with clients' relatives or other individuals with whom clients maintain a close personal relationship when there is a risk of exploitation or potential harm to the client. Sexual activity or sexual contact with clients' relatives or other individuals with whom clients maintain a personal relationship has the potential to be harmful to the client and may make it difficult for the social worker and client to maintain appropriate professional boundaries. Social workers – not their clients, their clients' relatives, or other individuals with whom the client maintains a personal relationship – assume the full burden for setting clear, appropriate, and culturally sensitive boundaries.

(c) Social workers should not engage in sexual activities or sexual contact with former clients because of the potential for harm to the client. If social workers engage in conduct contrary to this prohibition or claim that an exception to this prohibition is warranted because of extraordinary circumstances, it is social workers – not their clients – who assume the full burden of demonstrating that the former client has not been exploited, coerced, or manipulated, intentionally or unintentionally.

(d) Social workers should not provide clinical services to individuals with whom they have had a prior sexual relationship. Providing clinical services to a former sexual partner has the potential to be harmful to the individual and is likely to make it difficult for the social worker and individual to maintain appropriate professional boundaries.

### **1.10 Physical Contact**

Social workers should not engage in physical contact with clients when there is a possibility of psychological harm to the client as a result of the contact (such as cradling or caressing clients). Social workers who engage in appropriate physical contact with clients are responsible for setting clear, appropriate, and culturally sensitive boundaries that govern such physical contact.

### **1.11 Sexual Harassment**

Social workers should not sexually harass clients. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

### **1.12 Derogatory Language**

Social workers should not use derogatory language in their written or verbal communications to or about clients. Social workers should use accurate and respectful language in all communications to and about clients.

### **1.13 Payment for Services**

(a) When setting fees, social workers should ensure that the fees are fair, reasonable, and commensurate with the services performed. Consideration should be given to clients' ability to pay.

(b) Social workers should avoid accepting goods or services from clients as payment for professional services. Bartering arrangements, particularly involving services, create the potential for conflicts of interest, exploitation, and inappropriate boundaries in social workers' relationships with clients. Social workers should explore and may participate in bartering only in very limited circumstances when it can be demonstrated that such arrangements are an accepted practice among professionals in the local community, considered to be essential for the provision of services, negotiated without coercion, and entered into at the client's initiative and with the client's informed consent. Social workers who accept goods or services from clients as payment for professional services assume the full burden of demonstrating that this arrangement will not be detrimental to the client or the professional relationship.

(c) Social workers should not solicit a private fee or other remuneration for providing services to clients who are entitled to such available services through the social workers' employer or agency.

### **1.14 Clients Who Lack Decision Making Capacity**

When social workers act on behalf of clients who lack the capacity to make informed decisions, social workers should take reasonable steps to safeguard the interests and rights of those clients.

### **1.15 Interruption of Services**

Social workers should make reasonable efforts to ensure continuity of services in the event that services are interrupted by factors such as unavailability, relocation, illness, disability, or death.

### **1.16 Termination of Services**

- (a) Social workers should terminate services to clients and professional relationships with them when such services and relationships are no longer required or no longer serve the clients' needs or interests.
- (b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, giving careful consideration to all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.
- (c) Social workers in fee-for-service settings may terminate services to clients who are not paying an overdue balance if the financial contractual arrangements have been made clear to the client, if the client does not pose an imminent danger to self or others, and if the clinical and other consequences of the current nonpayment have been addressed and discussed with the client.
- (d) Social workers should not terminate services to pursue a social, financial, or sexual relationship with a client.
- (e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.
- (f) Social workers who are leaving an employment setting should inform clients of appropriate options for the continuation of services and of the benefits and risks of the options.

## **2. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO COLLEAGUES**

### **2.01 Respect**

- (a) Social workers should treat colleagues with respect and should represent accurately and fairly the qualifications, views, and obligations of colleagues.
- (b) Social workers should avoid unwarranted negative criticism of colleagues in communications with clients or with other professionals. Unwarranted negative criticism may include demeaning comments that refer to colleagues' level of competence or to individuals' attributes such as race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.
- (c) Social workers should cooperate with social work colleagues and with colleagues of other professions when such cooperation serves the wellbeing of clients.

## **2.02 Confidentiality**

Social workers should respect confidential information shared by colleagues in the course of their professional relationships and transactions. Social workers should ensure that such colleagues understand social workers' obligation to respect confidentiality and any exceptions related to it.

## **2.03 Interdisciplinary Collaboration**

(a) Social workers who are members of an interdisciplinary team should participate in and contribute to decisions that affect the wellbeing of clients by drawing on the perspectives, values, and experiences of the social work profession. Professional and ethical obligations of the interdisciplinary team as a whole and of its individual members should be clearly established.

(b) Social workers for whom a team decision raises ethical concerns should attempt to resolve the disagreement through appropriate channels. If the disagreement cannot be resolved, social workers should pursue other avenues to address their concerns consistent with client wellbeing.

## **2.04 Disputes Involving Colleagues**

(a) Social workers should not take advantage of a dispute between a colleague and an employer to obtain a position or otherwise advance the social workers' own interests.

(b) Social workers should not exploit clients in disputes with colleagues or engage clients in any inappropriate discussion of conflicts between social workers and their colleagues.

## **2.05 Consultation**

(a) Social workers should seek the advice and counsel of colleagues whenever such consultation is in the best interests of clients.

(b) Social workers should keep themselves informed about colleagues' areas of expertise and competencies. Social workers should seek consultation only from colleagues who have demonstrated knowledge, expertise, and competence related to the subject of the consultation.

(c) When consulting with colleagues about clients, social workers should

disclose the least amount of information necessary to achieve the purposes of the consultation.

### **2.06 Referral for Services**

- (a) Social workers should refer clients to other professionals when the other professionals' specialized knowledge or expertise is needed to serve clients fully or when social workers believe that they are not being effective or making reasonable progress with clients and that additional service is required.
- (b) Social workers who refer clients to other professionals should take appropriate steps to facilitate an orderly transfer of responsibility. Social workers who refer clients to other professionals should disclose, with clients' consent, all pertinent information to the new service providers.
- (c) Social workers are prohibited from giving or receiving payment for a referral when no professional service is provided by the referring social worker.

### **2.07 Sexual Relationships**

- (a) Social workers who function as supervisors or educators should not engage in sexual activities or contact with supervisees, students, trainees, or other colleagues over whom they exercise professional authority.
- (b) Social workers should avoid engaging in sexual relationships with colleagues when there is potential for a conflict of interest. Social workers who become involved in, or anticipate becoming involved in, a sexual relationship with a colleague have a duty to transfer professional responsibilities, when necessary, to avoid a conflict of interest.

### **2.08 Sexual Harassment**

Social workers should not sexually harass supervisees, students, trainees, or colleagues. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

### **2.09 Impairment of Colleagues**

- (a) Social workers who have direct knowledge of a social work colleague's impairment that is due to personal problems, psychosocial distress, substance abuse, or mental health difficulties and that interferes

with practice effectiveness should consult with that colleague when feasible and assist the colleague in taking remedial action.

(b) Social workers who believe that a social work colleague's impairment interferes with practice effectiveness and that the colleague has not taken adequate steps to address the impairment should take action through appropriate channels established by employers, agencies, NASW, licensing and regulatory bodies, and other professional organizations.

## **2.10 Incompetence of Colleagues**

(a) Social workers who have direct knowledge of a social work colleague's incompetence should consult with that colleague when feasible and assist the colleague in taking remedial action.

(b) Social workers who believe that a social work colleague is incompetent and has not taken adequate steps to address the incompetence should take action through appropriate channels established by employers, agencies, NASW, licensing and regulatory bodies, and other professional organizations.

## **2.11 Unethical Conduct of Colleagues**

(a) Social workers should take adequate measures to discourage, prevent, expose, and correct the unethical conduct of colleagues.

(b) Social workers should be knowledgeable about established policies and procedures for handling concerns about colleagues' unethical behavior. Social workers should be familiar with national, state, and local procedures for handling ethics complaints. These include policies and procedures created by NASW, licensing and regulatory bodies, employers, agencies, and other professional organizations.

(c) Social workers who believe that a colleague has acted unethically should seek resolution by discussing their concerns with the colleague when feasible and when such discussion is likely to be productive.

(d) When necessary, social workers who believe that a colleague has acted unethically should take action through appropriate formal channels (such as contacting a state licensing board or regulatory body, an NASW committee on inquiry, or other professional ethics committees).

(e) Social workers should defend and assist colleagues who are unjustly charged with unethical conduct.

### **3. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES IN PRACTICE SETTINGS**

#### **3.01 Supervision and Consultation**

- (a) Social workers who provide supervision or consultation should have the necessary knowledge and skill to supervise or consult appropriately and should do so only within their areas of knowledge and competence.
- (b) Social workers who provide supervision or consultation are responsible for setting clear, appropriate, and culturally sensitive boundaries.
- (c) Social workers should not engage in any dual or multiple relationships with supervisees in which there is a risk of exploitation of or potential harm to the supervisee.
- (d) Social workers who provide supervision should evaluate supervisees' performance in a manner that is fair and respectful.

#### **3.02 Education and Training**

- (a) Social workers who function as educators, field instructors for students, or trainers should provide instruction only within their areas of knowledge and competence and should provide instruction based on the most current information and knowledge available in the profession.
- (b) Social workers who function as educators or field instructors for students should evaluate students' performance in a manner that is fair and respectful.
- (c) Social workers who function as educators or field instructors for students should take reasonable steps to ensure that clients are routinely informed when services are being provided by students.
- (d) Social workers who function as educators or field instructors for students should not engage in any dual or multiple relationships with students in which there is a risk of exploitation or potential harm to the student. Social work educators and field instructors are responsible for setting clear, appropriate, and culturally sensitive boundaries.

#### **3.03 Performance Evaluation**

Social workers who have responsibility for evaluating the performance of others should fulfill such responsibility in a fair and considerate manner and on the basis of clearly stated criteria.

### **3.04 Client Records**

- (a) Social workers should take reasonable steps to ensure that documentation in records is accurate and reflects the services provided.
- (b) Social workers should include sufficient and timely documentation in records to facilitate the delivery of services and to ensure continuity of services provided to clients in the future.
- (c) Social workers' documentation should protect clients' privacy to the extent that is possible and appropriate and should include only information that is directly relevant to the delivery of services.
- (d) Social workers should store records following the termination of services to ensure reasonable future access. Records should be maintained for the number of years required by state statutes or relevant contracts.

### **3.05 Billing**

Social workers should establish and maintain billing practices that accurately reflect the nature and extent of services provided and that identify who provided the service in the practice setting.

### **3.06 Client Transfer**

- (a) When an individual who is receiving services from another agency or colleague contacts a social worker for services, the social worker should carefully consider the client's needs before agreeing to provide services. To minimize possible confusion and conflict, social workers should discuss with potential clients the nature of the clients' current relationship with other service providers and the implications, including possible benefits or risks, of entering into a relationship with a new service provider.
- (b) If a new client has been served by another agency or colleague, social workers should discuss with the client whether consultation with the previous service provider is in the client's best interest.

### **3.07 Administration**

- (a) Social work administrators should advocate within and outside their

agencies for adequate resources to meet clients' needs.

(b) Social workers should advocate for resource allocation procedures that are open and fair. When not all clients' needs can be met, an allocation procedure should be developed that is nondiscriminatory and based on appropriate and consistently applied principles.

(c) Social workers who are administrators should take reasonable steps to ensure that adequate agency or organizational resources are available to provide appropriate staff supervision.

(d) Social work administrators should take reasonable steps to ensure that the working environment for which they are responsible is consistent with and encourages compliance with the *NASW Code of Ethics*. Social work administrators should take reasonable steps to eliminate any conditions in their organizations that violate, interfere with, or discourage compliance with the *Code*.

### **3.08 Continuing Education and Staff Development**

Social work administrators and supervisors should take reasonable steps to provide or arrange for continuing education and staff development for all staff for whom they are responsible. Continuing education and staff development should address current knowledge and emerging developments related to social work practice and ethics.

### **3.09 Commitments to Employers**

(a) Social workers generally should adhere to commitments made to employers and employing organizations.

(b) Social workers should work to improve employing agencies' policies and procedures and the efficiency and effectiveness of their services.

(c) Social workers should take reasonable steps to ensure that employers are aware of social workers' ethical obligations as set forth in the *NASW Code of Ethics* and of the implications of those obligations for social work practice.

(d) Social workers should not allow an employing organization's policies, procedures, regulations, or administrative orders to interfere with their ethical practice of social work. Social workers should take reasonable steps to ensure that their employing organizations' practices are consistent with the *NASW Code of Ethics*.

(e) Social workers should act to prevent and eliminate discrimination in the employing organization's work assignments and in its employment policies and practices.

(f) Social workers should accept employment or arrange student field placements only in organizations that exercise fair personnel practices.

(g) Social workers should be diligent stewards of the resources of their employing organizations, wisely conserving funds where appropriate and never misappropriating funds or using them for unintended purposes.

### **3.10 Labor Management Disputes**

(a) Social workers may engage in organized action, including the formation of and participation in labor unions, to improve services to clients and working conditions.

(b) The actions of social workers who are involved in labor management disputes, job actions, or labor strikes should be guided by the profession's values, ethical principles, and ethical standards. Reasonable differences of opinion exist among social workers concerning their primary obligation as professionals during an actual or threatened labor strike or job action. Social workers should carefully examine relevant issues and their possible impact on clients before deciding on a course of action.

## **4. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES AS PROFESSIONALS**

### **4.01 Competence**

(a) Social workers should accept responsibility or employment only on the basis of existing competence or the intention to acquire the necessary competence.

(b) Social workers should strive to become and remain proficient in professional practice and the performance of professional functions. Social workers should critically examine and keep current with emerging knowledge relevant to social work. Social workers should routinely review the professional literature and participate in continuing education relevant to social work practice and social work ethics.

(c) Social workers should base practice on recognized knowledge, including

empirically based knowledge, relevant to social work and social work ethics.

#### **4.02 Discrimination**

Social workers should not practice, condone, facilitate, or collaborate with any form of discrimination on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

#### **4.03 Private Conduct**

Social workers should not permit their private conduct to interfere with their ability to fulfill their professional responsibilities.

#### **4.04 Dishonesty, Fraud, and Deception**

Social workers should not participate in, condone, or be associated with dishonesty, fraud, or deception.

#### **4.05 Impairment**

(a) Social workers should not allow their own personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties to interfere with their professional judgment and performance or to jeopardize the best interests of people for whom they have a professional responsibility.

(b) Social workers whose personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties interfere with their professional judgment and performance should immediately seek consultation and take appropriate remedial action by seeking professional help, making adjustments in workload, terminating practice, or taking any other steps necessary to protect clients and others.

#### **4.06 Misrepresentation**

(a) Social workers should make clear distinctions between statements made and actions engaged in as a private individual and as a representative of the social work profession, a professional social work organization, or the social worker's employing agency.

(b) Social workers who speak on behalf of professional social work

organizations should accurately represent the official and authorized positions of the organizations.

(c) Social workers should ensure that their representations to clients, agencies, and the public of professional qualifications, credentials, education, competence, affiliations, services provided, or results to be achieved are accurate. Social workers should claim only those relevant professional credentials they actually possess and take steps to correct any inaccuracies or misrepresentations of their credentials by others.

#### **4.07 Solicitations**

(a) Social workers should not engage in uninvited solicitation of potential clients who, because of their circumstances, are vulnerable to undue influence, manipulation, or coercion.

(b) Social workers should not engage in solicitation of testimonial endorsements (including solicitation of consent to use a client’s prior statement as a testimonial endorsement) from current clients or from other people who, because of their particular circumstances, are vulnerable to undue influence.

#### **4.08 Acknowledging Credit**

(a) Social workers should take responsibility and credit, including authorship credit, only for work they have actually performed and to which they have contributed.

(b) Social workers should honestly acknowledge the work of and the contributions made by others.

### **5. SOCIAL WORKERS’ ETHICAL RESPONSIBILITIES TO THE SOCIAL WORK PROFESSION**

#### **5.01 Integrity of the Profession**

(a) Social workers should work toward the maintenance and promotion of high standards of practice.

(b) Social workers should uphold and advance the values, ethics, knowledge, and mission of the profession. Social workers should protect, enhance, and improve the integrity of the profession through appropriate study and research, active discussion, and responsible criticism of the profession.

(c) Social workers should contribute time and professional expertise to activities that promote respect for the value, integrity, and competence of the social work profession. These activities may include teaching, research, consultation, service, legislative testimony, presentations in the community, and participation in their professional organizations.

(d) Social workers should contribute to the knowledge base of social work and share with colleagues their knowledge related to practice, research, and ethics. Social workers should seek to contribute to the profession's literature and to share their knowledge at professional meetings and conferences.

(e) Social workers should act to prevent the unauthorized and unqualified practice of social work.

## **5.02 Evaluation and Research**

(a) Social workers should monitor and evaluate policies, the implementation of programs, and practice interventions.

(b) Social workers should promote and facilitate evaluation and research to contribute to the development of knowledge.

(c) Social workers should critically examine and keep current with emerging knowledge relevant to social work and fully use evaluation and research evidence in their professional practice.

(d) Social workers engaged in evaluation or research should carefully consider possible consequences and should follow guidelines developed for the protection of evaluation and research participants. Appropriate institutional review boards should be consulted.

(e) Social workers engaged in evaluation or research should obtain voluntary and written informed consent from participants, when appropriate, without any implied or actual deprivation or penalty for refusal to participate; without undue inducement to participate; and with due regard for participants' wellbeing, privacy, and dignity. Informed consent should include information about the nature, extent, and duration of the participation requested and disclosure of the risks and benefits of participation in the research.

(f) When evaluation or research participants are incapable of giving informed

consent, social workers should provide an appropriate explanation to the participants, obtain the participants' assent to the extent they are able, and obtain written consent from an appropriate proxy.

(g) Social workers should never design or conduct evaluation or research that does not use consent procedures, such as certain forms of naturalistic observation and archival research, unless rigorous and responsible review of the research has found it to be justified because of its prospective scientific, educational, or applied value and unless equally effective alternative procedures that do not involve waiver of consent are not feasible.

(h) Social workers should inform participants of their right to withdraw from evaluation and research at any time without penalty.

(i) Social workers should take appropriate steps to ensure that participants in evaluation and research have access to appropriate supportive services.

(j) Social workers engaged in evaluation or research should protect participants from unwarranted physical or mental distress, harm, danger, or deprivation.

(k) Social workers engaged in the evaluation of services should discuss collected information only for professional purposes and only with people professionally concerned with this information.

(l) Social workers engaged in evaluation or research should ensure the anonymity or confidentiality of participants and of the data obtained from them. Social workers should inform participants of any limits of confidentiality, the measures that will be taken to ensure confidentiality, and when any records containing research data will be destroyed.

(m) Social workers who report evaluation and research results should protect participants' confidentiality by omitting identifying information unless proper consent has been obtained authorizing disclosure.

(n) Social workers should report evaluation and research findings accurately. They should not fabricate or falsify results and should take steps to correct any errors later found in published data using standard publication methods.

(o) Social workers engaged in evaluation or research should be alert to and avoid conflicts of interest and dual relationships with participants, should inform participants when a real or potential conflict of interest arises, and should take steps to resolve the issue in a manner that makes participants'

interests primary.

(p) Social workers should educate themselves, their students, and their colleagues about responsible research practices.

## **6. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO THE BROADER SOCIETY**

### **6.01 Social Welfare**

Social workers should promote the general welfare of society, from local to global levels, and the development of people, their communities, and their environments. Social workers should advocate for living conditions conducive to the fulfillment of basic human needs and should promote social, economic, political, and cultural values and institutions that are compatible with the realization of social justice.

### **6.02 Public Participation**

Social workers should facilitate informed participation by the public in shaping social policies and institutions.

### **6.03 Public Emergencies**

Social workers should provide appropriate professional services in public emergencies to the greatest extent possible.

### **6.04 Social and Political Action**

(a) Social workers should engage in social and political action that seeks to ensure that all people have equal access to the resources, employment, services, and opportunities they require to meet their basic human needs and to develop fully. Social workers should be aware of the impact of the political arena on practice and should advocate for changes in policy and legislation to improve social conditions in order to meet basic human needs and promote social justice.

(b) Social workers should act to expand choice and opportunity for all people, with special regard for vulnerable, disadvantaged, oppressed, and exploited people and groups.

(c) Social workers should promote conditions that encourage respect for cultural and social diversity within the United States and globally. Social workers should promote policies and practices that demonstrate respect for

difference, support the expansion of cultural knowledge and resources, advocate for programs and institutions that demonstrate cultural competence, and promote policies that safeguard the rights of and confirm equity and social justice for all people.

(d) Social workers should act to prevent and eliminate domination of, exploitation of, and discrimination against any person, group, or class on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

**NATIONAL STAFF DEVELOPMENT AND TRAINING ASSOCIATION**  
*An Affiliate of the American Public Human Services Association*

**CODE OF ETHICS FOR TRAINING AND  
DEVELOPMENT PROFESSIONALS IN  
THE HUMAN SERVICES**

**Preamble**

The American Public Human Services Association (APHSA), founded in 1930, is a nonprofit, bipartisan organization of individuals and agencies concerned with human services. The association's mission is to develop, promote, and implement public human service policies that improve the health and well-being of families, children and adults. APHSA educates members of Congress, the media, and the broader public on what is happening in the states on welfare, child welfare, health care reform, and other issues involving families and the elderly.

The National Staff Development and Training Association (NSDTA), founded as an APHSA affiliate in 1985, is an interdisciplinary professional organization comprised of training and development professionals serving diverse populations in a variety of settings across the lifespan. Within the training and development function, a variety of roles exist including: administrative support, communications specialist, evaluator/researcher, human resource planner, instructional media specialist, manager, instructor/trainer, organizational development specialist and training program and curriculum designer. The mission of the NSDTA is to build professional and organizational capacity in human services through a national network of membership, sharing ideas and resources on organizational development, staff development, and training. It has a vision of competent and caring people in effective organizations creatively working together to improve the well-being of society's children, adults, and families.

NSDTA accomplishes its mission by:

- Promoting a network of contacts to discuss and disseminate best practice methods and strategies
- Providing a national forum for discussion of staff development and training issues.
- Providing leadership in the development of local, state, and federal programs and procedures that enhance the skills of staff and develop standards and evaluation criteria for training programs nationwide.
- Developing public policy recommendations and advocating for staff development and training issues.
- Creating opportunities for continual learning and professional development for itself as an organization and for its members.

Inherent within the work of both human services practitioners and those who promote

their training and development are two central concepts: care and control. Developing caring relationships and valuing people are balanced with providing the right amount of control (structure/influence/authority) to promote human change and development. So that care and concern for people take priority over control and other personal interests, human services training and development practitioners must be aware of the profession's core values and guiding ethical principles.

Since many NSDTA members are also members of other human service professional associations, it is expected that NSDTA members are familiar with and adhere to the NSDTA Code as well as other human service discipline codes to which members belong. NSDTA's Code of Ethics is intended to be consistent with those of the members' human services professional associations. Common principles from a variety of human service codes are included. However, if a conflict between a provision of the NSDTA's Code and another professional code of ethics occurs, it is expected that the professional will resolve the conflict with conduct exhibiting the highest level of professional practice. It is also expected that NSDTA members are familiar with the human service codes honored by the participants to whom members provide training and development services.

## **CORE VALUES AND PRINCIPLES OF A HUMAN SERVICE TRAINING AND DEVELOPMENT PROFESSIONAL**

### **V. 1. Beneficence and Non-maleficence**

Above all else, training and development professionals promote the well-being of others and avoid activities/interventions/relationships that may bring others harm. Since certain aspects of human services may involve risk of harm or discomfort to practitioners (e.g., working with violent clients), simulated training and development activities may also present a risk to training and development participants. The potential risk of harm or discomfort to a participant must be considered relative to the potential learning and development opportunity. Every effort should be made to ensure the physical and emotional safety and security of all participants.

### **V. 2. Learning, Development, Self-Awareness, and Self-Actualization**

Training and development professionals are committed to promoting the development of human services practitioners by facilitating knowledge acquisition, skill demonstration and practice; exploring values and attitudes; increasing self awareness and metacognitive abilities; utilizing strategies to promote transfer of learning; and advocating for the development of learning organizations/communities. Training and development professionals also value the importance of ensuring their own learning, development, self-awareness, and self-actualization.

### **V. 3. Human Service Leadership**

Training and development professionals recognize the importance of providing

leadership in human services through training and development activities. Training and development professionals also recognize their potential influence and take responsibility for their activities in promoting service to others.

#### V. 4. Individual Uniqueness, Cultural Diversity and Competence

Training and development professionals value diversity in our society and promote worker competence in understanding the uniqueness of individuals within their environments.

#### V. 5. Self-Determination

Training and development professionals respect the right of the learner to determine what, when, and how it is best for that individual to learn. A variety of instructional strategies should be considered to encourage participation from learners with different learning styles. Even “mandatory” training activities (e.g., training content required by law or administrative rule) should provide the learner with options of how to participate. In addition, training and development professionals should advocate through their practice the importance of self-determination for those who receive and/or are in need of human services.

#### V.6. Integrity

Training and development professionals promote a climate of trust and mutual respect. Values and standards from the NSDTA Code are integrated into training and development activities. Working relationships are clarified with others regarding the areas of competence of the training and development professional, program goals, methods, content/curricula, confidentiality, fees, and assessment/evaluation strategies. Agreed-upon commitments are adhered to by the training and development professional.

### **ETHICAL STANDARDS RESPONSIBILITIES TO CLIENT(S)**

Training and development professionals often simultaneously serve multiple clients (e.g., human service recipients, training participants, supervisors of training participants, program sponsors, etc.). In addition to multiple clients, professional roles may blend. For example, a worker’s supervisor may also be the trainer. *The training and development professional should clarify roles and responsibilities to all relevant parties and discuss potential possibilities of conflicting loyalties.*

#### **Human Service Recipient Focused**

Although the primary activities of human services training and development professionals are typically directed to those who serve individuals and families and

others who work in an organization to support service delivery, the ultimate goal of all human services training and development activities is to promote the well-being of persons who receive human services (children, youth, adults, and families).

CL. 1. Training and development professionals should advocate for the well-being of human service recipients.

CL. 2. Training and development professionals should preserve and promote the dignity of clients discussed in training and development activities.

CL. 3. The confidentiality of clients should be maintained during training and development activities.

CL. 4. Training and development professionals should provide training and development activities that help human services workers better understand and promote the well-being of human services recipients.

### **Participant/Learner Focused**

P.1. The dignity and worth of all program participants/learners should be recognized, protected, and where possible, enhanced.

P.2. Expectations should be clarified regarding: (1) the training and development program's goals, (2) the roles of those involved in the training and development activities (e.g., trainer, supervisor, learner, and program sponsor), (3) the rules/policies affecting the learner (e.g., attendance policy, expectations for application of learning on-the-job, and policies regarding confidentiality of information shared during training), and (4) interpersonal behavior such as how to respectfully disagree with others.

P.3. All reasonable efforts should be taken to promote participant physical and emotional safety. When training and development activities present a risk to the physical and/or emotional safety of the participants (e.g., learning how to physically restrain a youth when (s)he is attempting to harm oneself or others), the training and development professional should consider the potential gain of learning and development with the potential for discomfort or harm to the participant. Alternative learning activities should be considered.

P.4. When there is a potential risk of participant harm or discomfort, the participant should be made aware of the risk and potential for learning and given the opportunity to participate or not participate.

P.5. When training content areas that have a high likelihood of causing emotional reactions, the training and development professional should have a plan on how to handle reactions that will support the participant experiencing the reaction without distracting the other participants from their learning process.

P.6. Training and development professionals should attempt to promote a climate of

trust and mutual respect in training and development activities so that participants feel supported enough to take risks to promote their learning and development.

P.7. Training and development professionals should promote participant acquisition of knowledge and skills as well as participant self-awareness and self-development.

P.8. Training and development professionals should help participants plan for application of learning to the job.

P.9. Program participants should be given an opportunity to provide feedback regarding the training and development activities they receive. Training and development professionals should provide clear guidelines on procedures for providing feedback/evaluation.

P.10. Interested participants should be admitted to programs without discrimination as to race, gender, age, disability, sexual orientation, religion or national origin.

P.11. When using “deception” (withholding information from participants or providing misleading information to participants) for strategic teaching purposes (e.g., the surprise effect), the training and development professional should “undo” the deception by providing correct information at the conclusion of the activity. The benefits of the deceptive activity should be assessed relative to the potential loss of trust and/or discomfort of the participants.

P.12. Expectations regarding the confidentiality, as well as limits of confidentiality, of information shared during training and development activities should be clarified prior to and/or at the beginning of those activities. If information will be shared with others (e.g., participant knowledge test scores shared with the participant’s supervisor/employer), the participant should be informed.

### **Employer or Sponsor Focused**

E.1. Prior to the initiation of training and development activities, expectations should be clarified with the employer/sponsor regarding: (1) the training and development program’s goals (e.g., the type of training need addressed), (2) the roles of those involved in the training and development activities (e.g., trainer, supervisor, learner, and program sponsor), (3) the rules/policies affecting the learner and others involved in the learning and transfer process (e.g., attendance policy, expectations for application of learning on-the-job, and policies regarding confidentiality of information shared during training), and (4) interpersonal behavior such as how to respectfully disagree with others.

E.2. Training and development professionals should strive to adhere to commitments made to employers or sponsoring organizations. However, professionals should not permit employers or sponsoring organization to interfere with ethical obligations.

## **RESPONSIBILITIES AS PROFESSIONALS**

PR.1. Training and development professionals should develop and maintain competence in two major areas (1) the human service competency area of the training and development activities (e.g., child abuse and neglect) and (2) the training and development competencies pertaining to one's training and development role/job (see competencies for nine T&D roles in NSDTA Training and Development Competency Model, 2001). Training and development professionals should not practice outside their areas of competence. If one is not proficient in a required competency area, then one should either improve one's competence or discontinue practice in that area. Temporary improvement in competence may occur by teaming with another professional competent in that area (e.g., a curriculum development writer teaming with a subject matter expert in a human service area such as working with children affected by divorce).

PR.2. Training and development activities should only be used to address legitimate training and development needs. Training and development activities should not be used when other non- training and development interventions are more appropriate.

PR.3. Training and development activities should not be used to solicit contributions or support for political, religious, or other causes (however, client advocacy training and development activities may be appropriate based upon identified training and/or development needs).

PR.4. Training and development activities should not be used to sell products or services or provide opportunities that can be used to benefit the financial interests of the training and development professional. Although training and development professionals may receive payment for conducting training and development activities and/or providing a product that address identified training and/or development needs, class time should not be used for promotional purposes.

PR.5. Training and development professionals should include transfer of learning activities/interventions in all training and development initiatives.

PR.6. Training and development professionals should incorporate strategies and/or content to facilitate cultural competence in all training.

PR.7. Training and development professionals should promote the use of training evaluation and research to improve training and development activities. Training and development professionals should adhere to principles of best practice in evaluation and research.

PR.8. When an instrument is used in training and development activities (e.g., learning style inventory), training and development professionals should follow recommended guidelines regarding the instrument's intended audience and procedures for application. Results should be appropriately interpreted to the training and development users based upon known information regarding the instrument's validity for the application. Potential misapplication of an instrument and/or misinterpretation

of its results should be avoided.

PR.9. Training and development records should be maintained by the training and development professional. At a minimum the following data should be maintained: a description of curriculum content areas addressed, participant handout materials, and attendance.

PR.10. Training and development professionals should accurately represent their credentials (experience, education, training, etc.) and areas of competence to others.

PR.11. Training and development professionals should establish appropriate boundaries between themselves and others so that working relationships are not confused with personal relationships.

### **RESPONSIBILITIES TO COLLEAGUES AND THE PROFESSION OF TRAINING AND DEVELOPMENT IN HUMAN SERVICES**

C.1. Training and development professionals should share information with colleagues to promote best practice as well as add to the knowledge base of training and development in human services.

C.2. Training and development contributions of others should be appropriately recognized in training and development activities such as training, scholarly writing, and conference presentations.

C.3. Training and development professionals should obey copyright laws. Even when materials do not contain a copyright symbol, professionals should acknowledge in writing the original source of the materials.

C.4. Training and development professionals should articulate and advocate for the appropriate use of training and development activities.

### **RESPONSIBILITIES TO SOCIETY**

S.1. Training and development professionals should utilize resources efficiently to effectively meet training and development needs.

S.2. Training and development professionals should provide leadership in their individual areas of expertise. By remaining current on laws, policies, and best practices in human services and training and development, training and development professionals can advocate in human service agencies and in society for changes necessary to improve the well-being of society's children, adults, and families.

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The Codes of Ethics from the following associations were reviewed and

utilized in the development of the NSDTA Code of Ethics:

1. American Counseling Association
2. American Psychological Association
3. Association for Child and Youth Care Practice
4. British Association for Counseling
5. Coalition of Adult Education Organizations
6. National Association of Social Workers
7. National Council on Family Relations – Ethical Guidelines for Family and Parent Educators
8. National Organization of Human Service Educators

Committee members having input into this document include:

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## **Section VIII: Policies and Procedures**

## **Internal Academy Policies**

### **Field-Based Trainer Supervision**

The Academy's Transfer-of-Learning/Leadership Specialist will schedule a monthly conference with the Field-Based Trainer, in person or by telephone, to discuss the status of trainee assignments, special issues related to the mentoring/coaching relationships, developments in county staffing or policies, identified training needs and other issues relevant to the delivery of Transfer-of-Learning services. In addition, the supervision conference will be to provide support and professional development to the Field-Based Trainer. Conferences may be held more often than monthly, as appropriate and agreed between the Transfer-of-Learning/Leadership Specialist and the Field-Based trainer. These communications should be documented on the Field-Based Trainer's non-training activity logs.

### **Field-Based Trainer- Regional Training Coordinator Interaction**

Regular coordination and communication should occur between the Field-Based Trainer and Regional Training Coordinator to discuss training needs and staffing issues that assist the RTC and FBT in providing the most effective delivery of services. Coordination may occur on an informal basis through face-to-face, email or telephone contact or may be part of a structured meeting with the Transfer-of-Learning/Leadership Specialist, the Regional Training Coordinator Supervisor and County liaisons. Communication should occur on a minimum monthly basis and the Field-Based Trainer should document these efforts in their non-training activity logs.

### **Documentation of Work Hours**

The Field-Based Trainer will report work hours via Attendance Report form if a full-time Academy employee or by Temporary Help Time Voucher if a part-time employee. Time records should be submitted with signature to the Transfer-of-Learning/Leadership Specialist according to published pay period time schedules. Once received the Transfer-of-Learning/Leadership Specialist will review and refer the time sheets to the Academy officer manager for processing. Records must be submitted with original signatures, requiring that the time sheets be delivered in person or via U.S. Mail. For further information on documentation of time worked, see the Academy's operations handbook.

### **Participation in monthly Academy staff meetings and other required meetings**

Field-Based Trainers are expected to attend and participate in the Academy's regularly scheduled monthly all-staff meetings at the Fresno Academy office. Additionally, Field-Based Trainers will also be expected to participate in monthly Field-Based Training meetings that occur directly after the Academy all-staff meeting. When schedule conflicts prevent attendance, the Field-Based Trainer should advise the Transfer-of-Learning/Leadership Specialist in advance and obtain approved excuse.

### **Documentation of Services and Trainees**

As of January 1, 2009, all Field-Based Trainers will complete the following Academy approved forms as instructed below. Forms should be completed electronically in word and transmitted via electronic mail to the Transfer-of-Learning/Leadership Specialist:

#### **FBT Daily Training Log:**

- Purpose: to track training hours and learning objectives for CWS staff (FBT to provide competencies on form; example provided)

#### **FBT Group Training Log:**

- Purpose: to track training hours of CWS staff in a group training setting provided by FBT (FBT to provide executive summary attached to the sign in sheet; example provided)

#### **FBT Monthly Non-Training Activity Log:**

- Purpose: to track FBT non-training activities

#### **FBT Case Log (Page 1 and 2):**

- Purpose: to keep track of individual meetings that take place between FBT and staff

#### **FBT Incident Reporting Form:**

- Purpose: to document any actions that take place in work with FBTs and CWS staff that may involve legal, ethical or standard of practice concerns

#### **Process for completion of Field-Based Trainer Forms:**

1. Complete FBT Daily Training Log, FBT Group Training Log and FBT Monthly Non-Training Activity Log via the computer on a monthly basis.
2. Forward the above referenced forms by the 5<sup>th</sup> of the following month via email to Office Manager with a copy to the Curriculum/Evaluation and Training Specialist and to the Transfer-of-Learning/Leadership Specialist.
3. Forward a copy of the FBT Daily Training Log and FBT Group Training Log to FBT's County Liaison for tracking purposes.
4. Complete FBT Case Log when working with CWS staff and file in secure and confidential area and forward a copy to the Transfer-of-Learning/Leadership Specialist when appropriate
5. Complete FBT Incident Reporting Form when appropriate. File in a secure and confidential location and forward to Transfer-of-Learning/Leadership Specialist.

### **Documentation of Incidents**

When unusual incidents involving a trainee and/or the Field-Based Trainer occur in the course of work hours, the Field-Based Trainer shall promptly notify the Transfer-of-Learning/Leadership Specialist via electronic mail or telephone and then complete a written incident report within 48 hours and submit this form via electronic mail or facsimile.

Examples of unusual incidents may include legal, ethical, worker safety or liability concerns regarding trainees or may involve accidents or medical concerns that occur during the training session.

### **Documentation of Continuing Education Credits**

The Central California Training Academy tracks training hours delivered by its programs for participating regional counties. The Curriculum Development Specialist provides periodic reports to each county.

Field-Based Training sessions may qualify for continuing education credits if the Field-Based Trainer crafts at least one concise learning objective that focuses on social work knowledge, skills or values as part of the daily training log and provides the name and an accurate accounting of the amount of time spent with the trainee on this training topic. These logs are to be submitted to the Transfer-of-Learning/Leadership Specialist as described above. Additionally, CEUs may be earned as part of group sessions with more than one trainee

For additional questions regarding the procedures for documenting CEUs, contact the Curriculum Development Specialist.

### **Commitment to Ongoing Professional Development**

The Central California Training Academy models commitment to staying current with evidence-based and best practices of the Child Welfare Services field. In keeping with this commitment, Field-Based Trainers are expected to work with the Transfer-of-Learning/Leadership Specialist to identify areas of professional development regarding knowledge, skills and values of the Child Welfare Practice and their role as coaches and mentors of Child Welfare Services staff and develop and implement a plan to acquire ongoing training.

Time committed to these efforts shall be documented in the non-training activity log. Costs of registration and travel reimbursement for trainings that occur outside the Field-Based Trainer's region should be approved in advance by the Transfer-of-Learning/Leadership Specialist.

## **Field-Based Trainer-County Relationship**

### **Establishing roles and responsibilities with trainee**

As described in Section V, Working with Agency Staff, Field-Based Trainers are responsible for establishing and maintaining clear boundaries and agreements regarding training expectations with trainees.

Field-Based Trainers are expected to describe, at minimum, the process for:

- Scheduling and setting learning objectives for trainees,
- Establishing limits on case work decision making,
- The role of the supervisor in the training process,
- Limits of information sharing and confidentiality, and;
- Responsibility to report concerns regarding legal, ethical, safety or liability issues to the agency.

### **Referral and Scheduling Process**

Each Field-Based Trainer should work with the assigned county liaison to establish a consistent referral process for new and experienced staff who will be scheduled for training.

Referral processes should encompass procedures for group referrals of newly hired workers as they report for duty and/or begin county-specific induction training.

Individual referrals should involve a process that allows the county to track referrals and prioritize the Field-Based Trainer's time to the trainees with the highest priority needs.

A sample referral process is provided below as a suggested starting point and may include some or all of the following steps and processes:

### **Referral and assignment structure**

Supervisors, managers and workers requesting field trainer time will complete a field trainer request form that is submitted to Staff Development liaison for assignment. The Academy Field-Based Trainer will receive a copy of the training request and will contact and schedule time with the worker and their supervisor to develop a Field Trainer Learning Agreement prior to commencing work. Staff Development will review the mentor referral form and make updates as appropriate.

Field trainer will be used for a minimum of three months (number of times dependent on number of new workers, field trainer contract hours and ongoing assignments) from the time new staff leaves the induction class and moves into the field, with a structured review of the continued need for services.

As established Induction training curriculum lesson plans and trainer's notes are developed, Staff Development Liaison will provide Field Mentor with copies of these materials.

Staff Development should consider encouraging to managers overseeing supervisors in all regions to assist supervisors in identifying the early use of mentoring services when performance or attitudinal concerns are identified prior to commencing progressive discipline.

Staff members who have scheduled appointments with the Field Trainer will be expected to advise the Field-Based Trainer at least one business day in advance of cancellation of the scheduled appointment in order to allow the field trainer the opportunity to reschedule the time with another mentee.

## **Blanket Reorganization Referral**

When the Agency plans and implements a large reorganization and worker re-assignment plan, Staff Development liaison and Field Trainer will work together with CWS supervisors to assess and set appointments with workers assigned to different programs to assist them in managing the transition.

In addition, the Field-Based Trainer and Staff Development will offer group mentoring for units to assist them in making a large re-organizational shift and managing vacancies while new workers are being trained.

## **Keeping Field Trainer apprised of changes in county policy and processes**

The Field-Based Trainer should develop a process for assuring that the county liaison provides the Field trainer with regular updates and/or written or otherwise communicated changes in county policy, practice, and available resources.

Field-Based Trainer should also establish agreements regarding the process for discussing with the county liaison any issues, questions and concerns that arise during mentoring that have not been addressed in the information provided.

## **Meetings and Special Projects**

The Field-Based Trainer may attend and participate in county meetings, including staff meetings, regional meetings or other county processes at the invitation of the worker and if appropriate to assess the training needs of the county.

Participation in ongoing special county projects should be approved by the Leadership/Field-Based Trainer Specialist in coordination with the county management team.

## **Role of Supervisor in Development and Monitoring of Learning Objectives, Trainee Feedback and Case Decisions**

The Field-Based Trainer should proactively seek contact and coordination with the trainee's supervisor in development and monitoring of learning objectives and to participate with the Field-Based Trainer and worker in discussing trainee progress.

The Field-Based Trainer should refer all case decisions and decisions regarding use of county resources to the trainee’s supervisor and maintain strict boundaries regarding managing perceptions about giving advice or direction regarding any case.

### **Field-Based Trainer Relationship with the County Liaison**

The Field-Based Trainer shall develop and maintain agreements regarding proactive communication with their assigned county contact regarding the training needs, changes in policy and organization, trainee issues and schedules.

Examples of agreements in maintaining regular communication with the county contact are provided below. Variations in policy will occur to meet the needs of the county as described in the example below:

“Field-Based Trainer will provide Staff Development liaison with current list of staff being served, an updated list of current trainees and a tentative schedule of availability for three months in advance. Changes in the scheduled hours may be flexibly negotiated based upon needs of the county and field trainer.”

“The Field-Based Trainer will email or call Staff Development liaison once every two weeks with tentative schedule of assignments and liaison will work with the Field-Based Trainer to fill gaps/prioritize assignments. Field-Based Trainer and liaison will meet and confer at a regularly scheduled interval to address new issues.”

### **Role in Transitioning New Workers and Reassigned Workers to their Field assignments**

Field-Based Trainers are often placed in the role of actively working with newly hired trainees or reassigned workers and getting them adjusted to their field assignment. Discussions with the county contact regarding expectations in this area should be established and agreements regularly reviewed and updated.

Examples of agreements regarding transitioning new workers might include some of the following elements:

#### **“Induction Worker Assignment**

In order to support development of the relationship between the Field-Based Trainer and the new workers in Induction training, Staff

Development will schedule the Field-Based Trainer for two ½ day sessions as part of induction training.

The first session will focus on introducing the concepts of field training and mentoring, skill development in Child Welfare Services, and introductory concepts of time management.

The second session will focus on the development of a Field-Based Learning Agreement that will be used during work between the Field-Based Trainer and the new worker once the worker's first assignment is known.

When it can be coordinated, Field-Based Trainer may be assigned to a regional office where workers are participating in field days to support transfer-of-learning.

During the first meeting at the unit site, Field-Based Trainer and mentee will meet with the unit supervisor to review cases being assigned and the plan for assignment, Learning Agreement and focus for Field-Based Training sessions.

At the end of the three-month period, Field-Based Trainer, Staff Development, supervisor and mentee will meet together to discuss progress of learning agreement and make decisions about the need for continued field training.

Staff Development Liaison may wish to develop a knowledge, skills and competencies assessment for the purpose of conducting the 3-month assessment.

### **Single worker reassignment**

At the time a worker changes assignments or is promoted to supervision, Staff Development will facilitate contact with the worker and supervisor to offer Field-Based Training services to assist in the transition to the new position."

### **Addressing county requests for documentation regarding observation of the trainee for performance evaluation and progressive discipline**

Periodically, written documentation regarding the observations of the Field-Based Trainer of worker behaviors, knowledge, skills or practices is requested as part of evaluating employee performance.

The Field-Based Trainer must balance the preservation of effective mentoring and coaching relationship with workers and supervisors with the right of the agency to request and obtain input on the in-person observation of the staff member's performance for the purposes of their evaluation.

Efforts should be made to craft documentation based upon specific observations and recommendations regarding learning needs and skills assessment. It is important to remember that it is not the Field-Based Trainer's role to make a recommendation regarding any employee's status with the agency.

Prior to providing any written documentation about specific performance issues, the Field-Based Trainer should make contact with the Transfer-of-Learning/Leadership Specialist to discuss the content and form of the documentation and the written documentation should be reviewed by the Transfer-of-Learning/Leadership Specialist or Academy Director (in the absence of the TOLS) prior to submission to the county agency.

## **County Specific Policies**

**(The following section is reserved for storage of county specific policies and procedures that will affect delivery of training and Transfer-of-Learning services)**