



Organizational Readiness Self-Assessment Tool

Guidelines for Use

This assessment is designed to provide a comprehensive framework for evaluating progress toward fulfillment of the goals of the Indian Child Welfare Act.

There are many assessment areas related to ICWA implementation in agency programs and practice. It may not be possible to complete all the assessment areas at first. Instead, administrators may select areas that represent their highest priorities and later resume assessment of the remaining areas. Additionally, administrators may wish to adapt certain assessment questions to meet specific agency needs.

At the end of each assessment area, respondents are asked about the main takeaways from their findings that can be used to identify short-term action steps and craft elements of a strategic plan. In this way, the assessment serves as the precursor for planning an enhanced implementation of the ICWA.

The categories of the assessment include:

- A. Identification of existing components of the county's Child and Family Services Review or other county-level assessments and plans that pertain to ICWA issues
- B. Review of CWS/CMS outcome data and other county data regarding American Indian children, compliance, and data integrity
- C. Review of policies, procedures, and values
- D. Identification of practice challenges and successes
- E. Identification of Tribal partners
- F. Review of the current status of county engagement (at multiple staff levels) with American Indian families, Tribal agencies, and service providers
- G. Engagement of stakeholders in the assessment and planning processes
- H. Delineation of the scope of the service array that serves indigenous children and families
- I. Development of organizational culture related to ICWA implementation
- J. Review of ICWA-related training and staff development opportunities
- K. Overview of the agency's readiness status

■ A. Existing ICWA-related Assessments and Plans

1. What assessments have already been conducted and what plans have already been made at the county level regarding the enhancement of ICWA implementation?

Review county-level CFSR documents to determine if ICWA-related issues were identified for improvement. Use the 'Notes' column to add relevant information. If ICWA matters were not included, indicate reasons for the omission.

- Child and Family Services Review -- County-level Documents:
 - ✓ Peer Quality Case Review (PQCR)
 - ✓ County Self-assessment (CSA)
 - ✓ County System Improvement Plan (SIP)

PQCR Notes:
 Yes No

CSA Notes:
 Yes No

SIP Notes:
 Yes No

2. Are there any other county-level, ICWA-related assessments or plans currently in effect? If so, provide a brief description for each:

- Assessment
Title:
Description:

- Plan
Title:
Description:

3. Summarize your main findings regarding current ICWA assessments and plans by writing a sentence or phrase for each point.

- 3.1.
- 3.2.
- 3.3.
- 3.4.

4. Indicate your next steps and the expected date(s) of completion.

Step 4.1.

Date:

Step 4.2.

Date:

Step 4.3.

Date:

Step 4.4.

Date:

■ B. Data Review

5. What do CWS/CMS measures indicate about the county's performance with respect to American Indian children?

Data collected by UC Berkeley's Center for Social Services Research (CSSR) Child Welfare Dynamic Report System [http://cssr.berkeley.edu/ucb_childwelfare] can be analyzed by ethnicity to isolate outcomes for American Indian cases and make comparisons across ethnic groups and across time. The AIE Toolkit focuses specifically on the outcome measures listed below, but counties may choose to investigate performance for many other indicators available through the Child Welfare Dynamic Report system.

- Have entries into foster care decreased for American Indian children over a specified period of time?
- Has the reunification rate of American Indian children improved over time?
- Has the length of stay in foster care for American Indian children decreased over time?
- Has the time to permanence decreased for American Indian children for a given period of time?
- Has the proportion of culturally appropriate placements for American Indian children increased or decreased over time?
- Has the accuracy of county CMS/CWS data been monitored? Refer to '[Data Collection and Its Impact on ICWA Compliance Measures](#)' to consider consistency among data reported for Native American Ethnicity, Tribal Membership Status, and Indian Child Welfare Act Status of children in the county's child welfare services case management system (CWS/CMS). Determine where improvements in data entry are needed.

6. What other outcome data is available, or can be compiled, regarding ICWA compliance and services provided to American Indian families? If data over time is not currently available, establish a baseline for the following measures:

- Have ICWA-related court appeals originating in your county increased or decreased over time?
- What proportion of ICWA-related inquiries was sent to Tribes promptly after a potential Tribal affiliation was disclosed to the case worker? Is any other data available from staff or stakeholder surveys and/or case reviews?

7. Summarize your main findings about the data review by writing a sentence or phrase for each point.

- 7.1.
- 7.2.
- 7.3.
- 7.4.

8. Indicate your next steps and the expected date(s) of completion.

Step 8.1.

Date:

Step 8.2.

Date:

Step 8.3.

Date:

Step 8.4.

Date:

■ C. Policies, Procedures, and Values

9. What agency policies and procedures are in place to monitor: a) prompt inquiries and notifications to Tribes? B) accurate, updated data entry related to ICWA status? and c) culturally appropriate placements?

- Prompt inquiries and notifications

Description:

- Accurate, updated data entry

Description:

- Culturally appropriate placements

Description:

10. What specific ICWA-related practice values are promoted by your agency?

- Specify practice values

Description:

11. How have agency staff been informed about practice values relating to serving Indian families and children? Is information provided on an ongoing basis?

- Communications re: practice

Description:

12. Summarize your main findings about current policies, procedures, and values by writing a sentence or phrase for each point.

- 12.1.
- 12.2.
- 12.3.
- 12.4.

13. Indicate your next steps and the expected date(s) of completion.

Step 13.1.

Date:

Step 13.2.

Date:

Step 13.3.

Date:

Step 13.4.

Date:

■ D. Practice Challenges and Successes

14. Has the agency held any formal discussions of challenges and successes among case workers, supervisors and managers regarding effective service provision to Indian families and children?

- Discussions with case workers:

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed or Ongoing
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- Discussions with supervisors:

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed or Ongoing
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- Discussions with managers:

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed or Ongoing
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15. To your knowledge, what challenges have already been identified by case workers, supervisors, and managers regarding effective service provision to indigenous families and children?

- Challenges for case workers

Description:

- Challenges for supervisors

Description:

- Challenges for managers

Description:

16. To your knowledge, what successes have already been reported by case workers, supervisors, and managers regarding effective service provision to indigenous families and children?

- Successes reported by case workers

Description:

- Successes reported by supervisors

Description:

- Successes reported by managers

Description:

17. Summarize your main findings about practice challenges and successes by writing a sentence or phrase for each point.

- 17.1.
- 17.2.
- 17.3.
- 17.4.

18. Indicate your next steps and the expected date(s) of completion.

Step 18.1.
Date:

Step 18.2.
Date:

Step 18.3.
Date:

Step 18.4.
Date:

■ **E. Identification of Tribal Partners**

19. Is agency staff aware of local Tribes, where reservations are located, and which Tribe(s) previously occupied local cities and towns within the county?

- Local Tribes

Names:

- Locations of Reservations

Description:

- Historical Tribal Lands

Description:

20. Indicate your next steps and the expected date(s) of completion.

Step 20.1.
Date:

Step 20.2.
Date:

Step 20.3.
Date:

Step 20.4.
Date:

■ F. Review of the current status of county engagement (at multiple staff levels) with American Indian families, Tribal agencies, and service providers

21. Does the agency have any active collaborations with Tribes, Tribal agencies, and service providers who serve indigenous families and children?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Initiating	<input type="checkbox"/> In Progress	<input type="checkbox"/> Some Collaborations Firmly Established	<input type="checkbox"/> Extensive Collaborative Network in Place
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Indicate the following information regarding current collaborations:

Entity	Name	Description of Partnership or Participation
Tribe		
Tribe		
Tribe		
Tribal Agency		
Tribal Agency		
Tribal Agency		
Service Provider		
Service Provider		
Service Provider		

22. Are the partnerships indicated in item #21 ongoing, and is participation by Tribal representatives and service providers consistent?

- Ongoing

Yes No

- Consistent

Yes No

Comment:

23. If collaborations are absent or in the formative stages, have any plans been made for staff to attend a local community event and extend introductions to event leaders and sponsors (e.g., fiestas, gatherings, pow-wows, storytelling, or other cultural events)?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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- Describe plans for staff attendance at community events:

24. Have any other outreach efforts been made by agency staff?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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- Describe outreach efforts that are underway:

25. Summarize your main findings about the current status of county engagement with American Indian families, Tribal agencies, and service providers by writing a sentence or phrase for each point.

- 25.1.
- 25.2.
- 25.3.
- 25.4.

26. Indicate your next steps and the expected date(s) of completion.

Step 26.1.
Date:

Step 26.2.
Date:

Step 26.3.
Date:

Step 26.4.
Date:

G. Engagement of Stakeholders in the Assessment and Planning Processes

Children, youth, parents, relatives, and Tribal partners are integral to the development and implementation of ICWA-related programs, interventions, and initiatives. These partners must be included in child welfare agency assessment, planning and decision-making. In addition to providing essential information and valuable perspectives, collaboration at the earliest stages of the implementation process contributes to joint problem-solving and later successes that can be shared by all parties.

The [Engagement and Communication Tools](#) provide resources for initial and ongoing engagement of Tribal representatives and stakeholders, including suggestions for conducting focus groups.

27. Has the child welfare agency engaged the following groups to participate in planning for the AIE Project?

a. Children

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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b. Youth

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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c. Families

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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d. Tribal Representatives or Agencies

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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28. Has the child welfare agency engaged the following groups to participate in decision making for the AIE Project?

a. Children

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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b. Youth

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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c. Families

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
----------------------------------	--------------------------------	--------------------------------------	--------------------------------------	------------------------------------

d. Tribal Representatives or Agencies

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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29. Have stakeholders had an opportunity to provide feedback to the agency regarding their perception about compliance with the requirements and spirit of the ICWA?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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If feedback has been received, describe the most important concerns of each group:

- Children:
- Youth:
- Families:
- Tribal Representatives or Agencies:

30. An important part of engaging stakeholders in the implementation process is the development of shared values and common language. This aspect of engagement could begin or be reinforced in stakeholder focus groups.

- Have the stakeholders identified shared values regarding the American Indian Enhancement (AIE) Project?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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- If values have been identified, indicated those that are most critical to the success of the project:

- Value 30.1.
- Value 30.2.
- Value 30.3.
- Value 30.4.

31. Have the stakeholders identified common language and terminology regarding the AIE Project?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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If terminology has been adopted, indicate key terms relevant to this project:

- Key Term 31.1.
- Key Term 31.2.
- Key Term 31.3.
- Key Term 31.4.

32. Have stakeholders identified any other considerations?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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- Describe other considerations that have been identified:

33. Summarize your main findings about stakeholder engagement in the assessment and planning processes by writing a sentence or phrase for each point.

- 33.1.
- 33.2.
- 33.3.
- 33.4.

34. Indicate your next steps and the expected date(s) of completion.

Step 34.1.
Date:

Step 34.2.
Date:

Step 34.3.
Date:

Step 34.4.
Date:

■ **H. Service Array**

35. Have staff been made aware of local service providers that provide culturally competent services for American Indian children and families?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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36. If service providers have been identified, indicate their names and a brief description of the services that are available.

Name:
Services provided:

Name:
Services provided:

Name:
Services provided:

Name:
Services provided:

37. Are staff making referrals for American Indian children and families to the service providers indicated in item #36?

Comment:

38. Are there other services needed by American Indian children and families that are not available in your local area?

Yes No

- Describe the services that are needed:

39. Summarize your main findings about the service array by writing a sentence or phrase for each point.

39.1.
39.2.
39.2.
39.4.

40. Indicate your next steps and the expected date(s) of completion.

Step 40.1.
Date:

Step 40.2.
Date:

Step 40.3.
Date:

Step 40.4.
Date:

I. Development of Organizational Culture

The questions in this section can be used to assess the readiness of child welfare agency staff to embrace the goals of the American Indian Enhancement Project. After considering/discussing each question, select the phase on the continuum described below that best typifies the organization’s culture at this time. Then write a brief description of the county’s progress in the areas that have been or are currently being addressed.

The five phases of the continuum are *Pre-awareness, Awareness, Commitment, Concrete Plans, and Substantive Change*:

Pre-awareness: ICWA-related practice has not yet been targeted for improvement at the agency level.

Awareness: Agency leadership has embraced the basic concepts.

Commitment: Agency leadership has made a commitment to improve practice.

Concrete Plans: Agency leadership has made a commitment to a specific plan.

Substantive Change: Agency leadership holds themselves accountable to the community for taking action.

41. Has the child welfare agency leadership demonstrated a commitment to addressing the requirements and spirit of the ICWA?

<input type="checkbox"/> Pre-awareness	<input type="checkbox"/> Awareness	<input type="checkbox"/> Commitment	<input type="checkbox"/> Concrete Plans	<input type="checkbox"/> Substantive Change
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- Description of current progress:

42. Is a commitment to the requirements and spirit of the ICWA reflected in the child welfare agency’s vision, mission, values and goals?

<input type="checkbox"/> Pre-awareness	<input type="checkbox"/> Awareness	<input type="checkbox"/> Commitment	<input type="checkbox"/> Concrete Plans	<input type="checkbox"/> Substantive Change
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- Description of current progress:

43. Does the child welfare agency encourage (or require) staff to increase their knowledge and skills regarding the requirements and spirit of the ICWA?

<input type="checkbox"/> Pre-awareness	<input type="checkbox"/> Awareness	<input type="checkbox"/> Commitment	<input type="checkbox"/> Concrete Plans	<input type="checkbox"/> Substantive Change
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- Description of current progress:

44. Are child welfare workers trained or mentored about the relationship between their decisions at critical points in cases (i.e., investigation, removal, permanency, case planning, case closing) and the outcomes for American Indian / Alaska Native children?

<input type="checkbox"/> Pre-awareness	<input type="checkbox"/> Awareness	<input type="checkbox"/> Commitment	<input type="checkbox"/> Concrete Plans	<input type="checkbox"/> Substantive Change
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- Description of current progress:

45. Are there any other agency concerns regarding the creation of an organizational culture that supports the best interest of Indian children and families?

- Describe:

46. Summarize your main findings about organizational culture by writing a sentence or phrase for each point.

- 46.1.
- 46.2.
- 46.3.
- 46.4.

47. Indicate your next steps and the expected date(s) of completion.

Step 47.1.
Date:

Step 47.2.
Date:

Step 47.3.
Date:

Step 47.4.
Date:

■ J. Staff Training and Development

A baseline assessment of training needs should be established and an analysis of gaps identified. Training needs may differ for each participant or stakeholder group.

A Note about ICWA-related Training

Training regarding the Indian Child Welfare Act is part of the California Common Core Curricula for Child Welfare Workers. Counties are required to provide new child welfare workers with training that addresses the [Learning Objectives of the California Common Core Curricula for the topic area of the Indian Child Welfare Act](#). Common Core training of the ICWA topic is required to be delivered to new child welfare workers within two years from the date of hire. Consequently, counties may want to assess what learning opportunities can be provided to workers in preparation for handling ICWA cases if they will have to wait a long period of time before receiving common core training regarding ICWA.

The curriculum [“Let the Spirit Lead...”](#) satisfies and exceeds the training requirements of the California Common Core Curricula for Child Welfare Workers for the ICWA topic area by providing content that addresses all of the learning objectives specified for the ICWA in the Common Core in addition to contextual cultural and historical information.

Advanced training regarding the topic areas of ‘Active Efforts’ and ‘Expert Witness’ is available through the Administrative Office of the Courts: <http://courts.ca.gov/8075.htm> [Scroll down to the heading “Advanced ICWA”.] A curriculum specifically for social workers regarding ‘Active Efforts’ and ‘Expert Witness’ is currently under development and will soon be available on the CalSWEC and AIE Toolkit websites.

Other training resources and transfer of learning tools are available in the [Toolkit](#).

48. What worker, supervisor, or management trainings are currently available through your agency?

Name:
Description:

Name:
Description:

Name:
Description:

Name:
Description:

49. Has your agency engaged Tribal partners to provide training, co-train, or participate in discussion panels for staff trainings?

<input type="checkbox"/> Not yet	<input type="checkbox"/> Begun	<input type="checkbox"/> In Progress	<input type="checkbox"/> Nearly Done	<input type="checkbox"/> Completed
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50. What mentoring opportunities regarding ICWA-related issues are currently available through your agency?

- Description:

51. What supervisory aids regarding ICWA-related compliance and practice are available?

- Description:

52. What transfer of learning tools related to ICWA compliance and practice are available to workers and supervisors?

- Description:

53. What ICWA-related trainings or transfer of learning tools are made available to collaborating partners by your agency?

- Description:

54. What other training and staff development needs have been identified by agency staff or stakeholders?

- Description:

55. Summarize your main findings about staff training and development by writing a sentence or phrase for each point.

55.1.

55.2.

55.3.

55.4.

56. Indicate your next steps and the expected date(s) of completion.

Step 56.1.

Date:

Step 56.2.

Date:

Step 56.3.

Date:

Step 56.4.

Date:

■ **K. Conceptualizing the Agency's Readiness Status**

57. Based on the overall findings of this assessment:

[Determine Where Your County is on the *Continuum of Readiness*](#)

(scroll down to flow chart)