

Appendix 1

Standards and Guidelines for Training Programs

This attachment highlights the content of national standards and guidelines that are relevant to training systems in child welfare agencies. We drew on two types of standards: general standards for child welfare agencies and standards developed by national organizations specifically for staff development and training programs. At the end of the table highlighting these national standards and guidelines there is some information on another set of national standards – a code of ethics for training and development professionals. We highlight some of the core values in this code that focus on the links between training programs and the larger agency.

Standards and Guidelines

We looked at three sets of national standards for child welfare agencies:

- “CWLA Standards of Excellence for the Management and Governance of Child Welfare Organizations,” from the Child Welfare League of America, Washington, D.C., 1996. This publication states that these standards “are intended to be used as ideals or goals for practice in the field of child welfare services...they make it possible to compare what exists with what is most desirable for children and their families...” *Available individually and as a set from the Child Welfare League of America, c/o CSSC, P.O. Box 7816, Raritan, NJ, 08818-7816, (800) 407-6273*
- “COA’s Standards and Self-Study Manual, 7th Edition, for Public Organizations,” by the Council on Accreditation of Services for Children and Families, 2001. The CWLA standards describe COA standards as “rigorous but realistic descriptions of practice that a competent provider organization should be able to meet.” *Available from the Council on Accreditation of Services for Children and Families, Inc., 120 Wall St., 11th Floor, New York, New York, 10005, (212) 797-3000*
- National Association of Public Child Welfare Administrators (NAPCWA): “Guidelines for a Model System of Protective Services for Abused and Neglected Children and Their Families,” Washington, D.C., 1999. These guidelines were developed through a collaborative process to determine parameters and expectations for a protective services system that would minimize harm to children and maximize the abilities of families to protect and care for their children. *Available from the American Public Human Services Association, (202) 682-0100 or pubs@aphsa.org*

We looked at two sets of standards developed by national organizations specifically for staff development and training programs. These guidelines identify components and attributes of effective training programs. One is specifically for human service agencies and the other is for federal agencies:

- Two documents from the National Staff Development and Training Association and the American Public Human Services Association: *Available from the National Staff Development and Training Association/APHSA at <http://nsdta.aphsa.org/>*

- “A Key to Success: Guidelines for Effective Staff Development and Training Programs in Human Service Agencies,” National Staff Development and Training Association and the American Public Welfare Association, 1993. This document provides basic information about the essential components for effective staff development and training. It lists essentials for a sound training program and criteria for components of an effective staff development and training program.
- “Training Evaluation in the Human Services,” by Cynthia Parry and Jane Berdie, American Public Human Services Association, 1999. The handbook provides basic information on planning and conducting a training evaluation. It lists essentials for a successful evaluation, and then describes a 10-step model for successful training course evaluation. *(The essentials are listed on the table below under “evaluation of training.”)*
- “Human Capital: A Guide for Assessing Strategic Training and Development Efforts in the Federal Government,” United States General Accounting Office, July 2003. GAO-03-893G. This guide summarizes attributes of effective training and development programs, and provides a framework to guide how agencies plan, design, implement and evaluate these programs.

National standards or training program guidelines call for and support many of the characteristics that are reflected in the performance principles and indicators used in this assessment guide. We have organized the material from these standards and guidelines into four sections to reflect the organization of the performance principles. The table below lists standards for the following areas (in this order):

Case /clinical practice

- agency outcomes/mission
- training aligned with organizational goals
- initial and ongoing training

Supervisory practice

- role of supervisors
- staff expectations/training plan
- mentoring

Managerial practice: internal partnerships

- learning environment
- quality improvement/evaluation
- leadership/staff input
- cooperation program/management and training staff
- reward employee contributions
- evaluation of staff

- training entity
- evaluation of training
- training plan
- training policies and procedures
- adequate resources
- training staff
- equipment and materials
- recording training information

Managerial practice: external partnerships

- stakeholder involvement in training
- variety of styles
- training for partners
- partnerships to create full array
- partnerships with external training resources

STANDARD/ GUIDELINE	General Child Welfare Agency Standards			Effective Staff Training Programs	
	CWLA	COA	NAPCWA*	NSDTA/APHSA**	GAO
Case/Clinical Practice					
Agency outcomes/ mission	The child welfare organization should be mission driven (1.1)The CEO should be mission driven... he must be able to galvanize...staff to willingly and enthusiastically work towards its achievement (2.54)	At least every four years the organization conducts an organization-wide, long-term strategic planning review that: clarifies the organization's mission, values and mandates; establishes goals and objectives... (G2.3.01) Each of the organization's programs or services annually conducts short-term planning in support of the organization's long-term plan (G2.4)	CPS managers should ensure the following leadership practices: agency and community expectations are outcome based (A)Outcome measures are needed to evaluate not only whether programs work but also how and why they work (D)		
Training aligned with organizational goals				Agency staff development and training programs are related to (and support) program objectives, priorities and staff needs... (c #4)	Strategic alignment: Clear linkages exist between the agency's mission, goals and culture and its training and development effort. The agency's mission and goals drive a strategic training and development approach and help ensure that the agency takes full advantage of an optimal mix of strategies to improve performance...
Initial and ongoing training	The organization should provide both a program and a period of orientation... (3.17) The organization should provide ongoing in-service training for all of its staff members and volunteers, based upon the needs identified in its organizational and individual staff development and training plans (3.20)	The organization orients all new personnel to its mission, objectives, policies, services and resources (G7.1)	Specialized skill training should be regularly available to staff already employed by the agency...newly hired staff should have core training before assuming responsibility for caseloads (I)	The agency has an integrated program of preservice and in-service training for all new employees in all classes of positions... (c #7) The agency provides continuing staff development and training opportunities for staff in all classes of positions... (c #8)	

*Text in brackets marked with an asterisk is not an actual standard, but is listed in the text as illustration, elaboration or explanation.
** in NSDTA/APHSA column: (e) essentials for a sound training program from: "A Key To Success"; (c) criteria for a component of an effective training program from: "A Key to Success"; (t) from: "Training Evaluation in the Human Services"

STANDARD/ GUIDELINE	General Child Welfare Agency Standards			Effective Staff Training Programs	
	CWLA	COA	NAPCWA*	NSDTA/APHSA**	GAO
Supervisory Practice					
Role of Supervisors	<p>The organization's philosophy and practice of supervision should enable and support staff members and volunteers at all levels to achieve the highest quality of service to children and their families, and aid the organization in fulfilling its mission, purpose and goals [The organization should carefully select and train its supervisors in the techniques and skills necessary for quality supervision*] (3.25)</p> <p>Individual staff development and training plans should be used as an ongoing supervisory instrument to assist employees in staying on target and achieving their professional goals (3.19)</p>	<p>The organization assumes professional responsibility for the quality of work performed by individual personnel (G7.5)</p> <p>The organization ensures that supervisors effectively manage and support personnel (G7.6)</p>		<p>Essentials are: Reinforcement and follow-up of training programs by the supervisory and managerial staff (e #5)</p> <p>Supervisors should be made aware of the training objectives before training so they can help prepare participants for training and also reinforce the learning after training (see e #12)</p>	
Staff expectations/training plans	<p>The organization should create individualized staff development and training plans to guide the professional growth of each employee (3.19)</p>	<p>In conjunction with personnel, the organization develops outcomes-oriented performance expectations for each position...(G4.12.05)</p>	<p>CPS managers should ensure the following leadership practices are in place: ... job performance standards based on outcomes (A)</p>		
Mentoring			<p>[Many training programs effectively use a special mentoring process to evaluate and enhance individual skills*](I)</p>		

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Managerial Practice: Internal Partnerships					
Learning environment	Child welfare organizations should be ethically and effectively led...[such leadership... includes a commitment to create a learning organization. Increasingly, the success of the organization will depend on the educated, empowered judgment of those working most closely with its customers... [the organization should demonstrate a commitment to the professional growth of its staff members...]*(1.8)	The organization creates and maintains an environment that...provides professional and organizational growth opportunities (G4.13)	Managers should support development of career ladders that promote professional growth and development... [provide opportunities to support staff, such as making experts available for regular consultation... and providing opportunities for staff to attend professional conferences and meetings*] (E)	Essential are...An organizational climate that permits looking at problems and the means to resolve them (e #2)	Agency leaders and managers consistently demonstrate that they support and value continuous learning... (see below: "Leadership/Staff input") Appropriate accountability mechanisms, such as performance management systems, are in place to hold managers responsible for learning and working in new ways.
Quality Improvement/ Evaluation	The CEO should provide leadership in monitoring and evaluating the quality of the services of the organization (2.65) The organization should evaluate its services at regular intervals to determine whether those services are effectively meeting the needs of children and families (2.79)	The organization evaluates its systems and procedures and uses its findings to improve its performance (G2.5) The organization has an outcomes measurement system in each of its programs which evaluates individual progress and program effectiveness (G2.7) The organization takes continual action to improve services and promulgate solutions to the issues identified by its CQI activities (G2.11)	CPS management should regularly evaluate CPS programs, services and personnel...[should shed light on both the effectiveness of programs and reasons for their effectiveness*] (J) [Evaluations also become a vehicle for assessing the degree to which personnel skills are sufficient to perform the job tasks *](J)	Training evaluation needs to be seen as ...part of a cycle of continuous quality improvement (t, p. 2) (see "Evaluation of training" below)	Agency practices and policies foster a culture of continuous improvement and optimal organizational performance regarding training and other activities. Stakeholders rely on and use program performance information and other data to assess and refine ongoing training and development efforts; target new initiatives to improve performance; and design, develop and implement new approaches to train and develop employees.

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Managerial Practice: Internal Partnerships					
Leadership/ Staff Input	...The organization should encourage (the involvement of staff members) in decisions that affect their work (1.8)The organization should provide opportunities for its staff members to consult with and advise management regarding its policies, procedures and practices (3.28)	The organization creates and maintains an environment that encourages full participation of its personnel in meeting quality and operational performance goals...The organization annually seeks input, determines the level of personnel satisfaction, and institutes corrective action... (G4.13; 4.13.02)	Policies and procedures should be developed that translate the mission ...of the CPS system into action... [policies should be continually... communicated to staff*] (C)	Essentials are: Top staff commitment to the value of cooperative planning and the development of ways to work together to meet program and staff needs (e #3)	Leadership commitment and communication: Agency leaders and managers consistently demonstrate that they support and value continuous learning, are receptive to and use feedback from employees on developmental needs and training results, and set the expectation that fair and effective training and development practices will improve individual and organizational performance
Cooperation program management and training staff				NSDTA/APHSA** Program and management staff must work cooperatively with the training staff in ... (identifying and analyzing organizational problems and identifying and agreeing on factors that may be alleviated by training...) (e) Training...must be closely related to agency management process (e) Staff development and training staff are involved in the agency management process...and should collaborate with other agency management staff...They also need to work closely with personnel in the development of job descriptions and performance standards... (c #3)	
Reward employee contributions	The organization should encourage employees, individually and as groups or teams, to perform at the highest level by establishing ways to celebrate excellent performance and achievement (3.32)	The organization creates and maintains an environment that... rewards and acknowledges the contributions of personnel (G4.13)			Appropriate rewards and incentives exist and are used fairly and equitably to encourage innovation, reinforce changed behaviors, and enhance performance
Evaluation of staff	The organization should have a system for reviewing its employees performance...The review should include ... measurement of the employee's contribution to the organization's quantifiable objectives within the organization's annual plan (3.26)	Performance reviews include an assessment of job performance in relation to the expectations defined in the job description and the objectives established in the most recent evaluation... (G4.12.06) See outcome oriented performance expectations under "Staff expectations/training plans" above	(through) performance evaluation... managers and supervisors can determine whether employees are meeting organizational requirements* (H)		See "appropriate accountability mechanisms" under "learning environment" above

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Managerial Practice: Internal Partnerships				NSDTA/APHSA**	
Training entity			The agency has assigned responsibility for the management of the staff development and training functions to an entity within the organization (c #1) ...training must be a clearly identifiable functions within the agency structure (e)Essential are:Administrative support (e #1)		
Evaluation of training		The organization revises...personnel training...according to recommendations of its CQI process (G2.11.02) The organization conducts an annual analysis of the training program's effectiveness and personnel training needs and implements training on identified topics (G7.2.05)	Training programs should...provide feedback to assess individual and group skills *(l)	There is a mechanism for assessing the effectiveness of staff development and training activities and for reinforcing learning. Training programs should be evaluated by one or more of the following means... (c #12) Training evaluation needs to be seen as an integral part of the training process and as part of a cycle of continuous quality improvement (t, p. 2) Essentials for successful training evaluation...Strategic plan for training evaluation; supportive organizational climate; responsiveness to the needs of consumers – ongoing communication with key stakeholders; shared understanding of what questions the evaluation will answer; a plan for how evaluation results will be used; adequate resources to conduct the evaluation (t p. 4 – 8)	The agency has established policies and procedures that recognize and support the importance of quality data and of evaluating the quality and effectiveness of training and development efforts. It establishes valid measures and validated systems to provide reliable and relevant information that is useful in improving the agency's training and development efforts.

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**STANDARD/
GUIDELINE**

General Child Welfare Agency Standards

Effective Staff Training Programs

	CWLA	COA	NAPCWA*	NSDTA/APHSA**	GAO
Managerial Practice: Internal Partnerships					
Training plan	The organization should create a staff development and training plan that focuses on the general needs of the organization, as well as on the individual training goals of each of its staff members ... (3.18)	The organization maintains and implements a personnel development plan that... includes an education and training program that provides opportunities for learning and skill enhancement... (G4.13.04)	The CPS agency is responsible for ensuring that its staff has the specialized knowledge and skills necessary to provide quality services (I)	The agency must have an annual state training plan ...describes the mechanisms for determining and addressing the training needs with appropriate management staff and staff to be trained ...serves to focus training resources on program objectives and priorities Should contain at least the following elements...Purpose of the training plan; location of the training function in the org; the agency's policies and procedures for establishing training needs; evaluation of training objectives; major thrusts of the past fiscal year; specific training objectives and focus for the coming year; use of educational contracts; projected training budget Essential [that it] reflects the goals and objectives, priorities and needs of the agency and the staff.. The plan should be realistic in terms of scope and agency resources... should specify what training will be provided, the purpose of the training and who should attend...(c #5)	
	The organization provides or arranges for a training program that: enables personnel to enhance their knowledge, skills and abilities; ensures that personnel are appropriately trained to assume their responsibilities; and promotes awareness of and sensitivity to cultural backgrounds...(G7.2) The organization's personnel development and training program ensures that direct service personnel and immediate supervisors implement the organization's mission and are competent in service provision (G7.3)				
Training policies and procedures				The agency has all written staff development and training policies and procedures contained in a single resource manual, which is periodically updated and made available to all agency staff (c #6)	
Adequate resources	The organization should have an annual budget that allocates its resources in accordance with its mission, strategic plan and annual operating plan (4.17)	The organization seeks stable and predictable sources of revenue...(G6.1) The organization allocates sufficient resources to support personnel development and training (G7.2.01)	The protection of children is critical, demanding the availability and uncompromising pursuit of adequate staff and service resources (F)	Sufficient funds are allocated for the agency's training program... (c #9) (also see c #1)	The agency provides an appropriate level of funding and other tools and resources – along with external expertise and assistance when needed – to ensure that its training and development programs reflect the importance of its investment in human capital to achieving its mission and goals.

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Managerial Practice: Internal Partnerships					
Training staff				The (staff development and training) function is staffed by competent, qualified professional and clerical personnel... (c #2)	
Equipment and materials				The agency has adequate and up-to-date training equipment and training materials which are appropriately utilized to meet training objectives (c #10)	
Recording training information				The agency has a system for recording information about all staff development and training programs conducted directly by or held under the auspices of the agency, as well as information about individual staff participation (c #13)	
Managerial Practice: External Partnerships					
Stakeholder involvement in training					Stakeholder involvement: Agency stakeholders are involved throughout the training and development process to help ensure that different perspectives are taken into account and contribute to effective training and development programs. Stakeholders' views are incorporated in identifying needed performance enhancements, developing and effectively implementing well-thought-out strategies, and helping to conceptualize and use balanced measures that accurately reflect the extent to which training and development efforts contribute to achieving results.

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Managerial Practice: External Partnerships					
Variety of styles		Training is provided through a mixture of knowledge-based and skill-based instruction and skill building exercises (G7.3.01)	[Training programs should...employ a variety of adult learning styles*](I)		
Training for partners			Management should also provide opportunities for cross-training of professionals in the CPS system (I)In developing community partnerships, training programs may need to expand to support these innovations *(I)		
Partnerships to create full service array	Public and non-profit child welfare organizations should work in partnership to ensure the availability of a full array of services in every community (1.3) The organization should develop relationships, collaborations, and partnerships with a broad cross-section of individuals and institutions in the community, including service consumers, families, schools, religious organizations, government organizations, businesses, and others who can help improve the provision of services to children and families (2.89)	The organization addresses the need for service continuity and the coordination of services (G9.4) The organization supports community approaches to addressing community problems... (G9.9)	... a common vision must be shared among all community partner stakeholders, CPS must become involved in planning and developing a broad system of community supports* (B)CPS should establish protocols and written agreements with agencies to help build partnerships... (N)		

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Managerial Practice: External Partnerships					
Partnerships with external training resources	The organization should enter into partnerships with institutions of higher learning to improve the quality of service in the community (3.23)			External training and educational resources are utilized to supplement and enhance internal agency-based staff development and training activities... (c #11)	Partnership and learning from others: Coordination within and among agencies achieves economies of scale and limits duplication of efforts. In addition to benchmarking high-performing organizations, these efforts allow the agency to keep abreast of current practices, enhance efficiency, and increase the effectiveness of its training and development programs.

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National Staff Development and Training Association (NSDTA) Code of Ethics for Training and Development Professionals in Human Services

The National Staff Development and Training Association (NSDTA) has developed a code of ethics for staff development and training programs. A publication is available that includes the core values and principles constituting the code, a section on “incidents” of compliance and non-compliance with these values and principles, and a discussion of training approaches and activities that promote ethical practice:

“The NSDTA Code of Ethics for Training and Development Professionals in Human Services: Case Scenarios and Training Implications.” Published by the NSDTA and the American Public Human Services Association, 2004. Available through the NSDTA website at <http://nsdta.aphsa.org/>

Below are two of the core values and principles and “incidents” of compliance and non-compliance that relate to the links between training programs and the larger agency. One asks trainers to ensure that their training is related to the organization’s needs, and the other asks trainers to advocate in the agency and in society for necessary changes:

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 (i.e. the type of training need addressed), (2) the roles of those involved in the training and development activities (Ex. 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.

Compliance Example – *Prior to signing a training contract, an independent training consultant arranges a meeting with training program and key agency personnel to discuss how the planned training would meet a training need. In addition, the specific goals of the training are delineated as well as the roles of those involved in the training. A specific plan for promoting transfer of learning is developed and the training program’s policies are reviewed.*

Noncompliance Example – *A training consultant is asked to conduct a seminar on teen suicide for the “typical” trainer fee. The trainer asks “where and when” and commits to providing the training without further discussion.*

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.

Compliance Example – *A trainer who has developed a high level of expertise in the area of parent education programs for parents who have abused their children, joins a curriculum*

committee of a state child welfare training program initiative to develop training curriculum for child welfare workers in parent education.

Noncompliance Example – *A program manager of a state child welfare-training program is unaware of how to use outcome indicator data from the federal Child and Family Services Review for training needs assessment.*