



**QUALITY ASSURANCE  
FRAMEWORK, VOLUME 4**  
Trainer's Manual – Appendices



## NOTE ABOUT THIS DOCUMENT

This document is part of a set of training resources for the Quality Assessment Framework, or QAF, designed by RTI International. The QAF forms, rubric, processes, and other tools are intended to help technical and vocational education and training centers worldwide to assess their own strengths and weaknesses, the demands of the workplace in their context, national or subnational education policies, and the corresponding services they should offer to students and prospective employers.

The framework's premise is that, in order to meet current and future workforce needs, promote sustainable program quality, and ensure longstanding impact for individual students and the larger economy,

- Training centers must provide a comprehensive set of services;
- Governments must adopt a comprehensive set of quality standards that apply universally to all programs;
- Industry partners must have confidence that training programs are aligned with labor market demands; and
- International aid organizations will benefit from working from a similar set of criteria.

The training resources in this set are:

1. **Overview** – Summarizes the critical need globally for better educational opportunities that lead directly to youth employment in particular, and sets the stage for the QAF
2. **Framework** – Elaborates upon the rationale for the QAF, and describes its components
3. **Trainer's manual** – Serves as a guide for master trainers and facilitators responsible for training others in how to roll out the use of the QAF across networks of technical training centers
4. **Appendices** – Consist of reproducible handouts, forms, and other resources to accompany the trainer's manual
5. **PowerPoint slide deck** – Contains slides to accompany the trainer's manual

This package of training materials is available for free download from RTI International's education resources website, <https://shared.rti.org>.

### About the Compiler

*Peter Joyce led the compilation of the QAF toolkit while serving as the general manager of RTI's Global Center for Youth Employment. He remains a recognized expert on the challenges associated with the evolving global labor market and with youth employment and prosperity. Dr. Joyce's commitment to this effort stemmed from his belief that today's workforce is all about skills—and ensuring that schools and training centers have the capacity to deliver on high-quality and relevant skills to youth.*

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## PURPOSE OF THE APPENDICES

*These appendices, and the PowerPoint slides that are referenced within them, are designed to accompany Volume 3 of the Quality Assurance Framework, the trainer's manual. They are teaching aids, handouts, and supplements for master trainers and facilitators to use during the QAF General Training and the subsequent self-assessment and action planning sessions.*



## APPENDIX A: AUSTIN'S BUTTERFLY

**Opening slide (yellow butterfly):** I want to tell you a story about a first-grader named Austin who attended a school in the United States.<sup>1</sup>

**Slide 2 (photo of butterfly):** Austin's grade 1 class was doing a project to learn about butterflies. The teacher asked Austin to draw this tiger swallowtail butterfly. It was a beautiful butterfly, so Austin was eager to start. The teacher suggested that he begin with just the outline, before getting to the markings and colors. He agreed.

**Slide 3 (Austin's 1st try):** This is Austin's first try. In most schools, Austin would receive praise for his effort. He would bring his picture home, where his parents would give him more praise and hang his drawing on the refrigerator. But at Austin's school, the teacher brought the children back to a mat on the floor and asked Austin to share his drawing and compare it to the butterfly he was asked to draw. The teacher asked the other children to give Austin "helpful, specific, and kind" feedback so that he could improve his drawing.

**Slide 4 (photo again):** Remember, this was the butterfly Austin was asked to draw. His classmates pointed out how the wings were more pointed on the sides and also had points on the bottom. He agreed that he could do better, and eagerly went back to his desk to try again.

**Slide 5 (Austin's 2nd try):** This is Austin's second version. Better, right? But, he wasn't finished. Again, the teacher convened the children on the mat and asked them to give Austin more feedback. They pointed out that (if you look closely), the wings of the original butterfly actually had two parts, on top and bottom. There is a separation. Austin again went back to his desk to try again.

**Slide 6 (Austin's 3rd try):** This is Austin's third try. He separated the top and bottom of the wings, but lost the points on top. His classmates once again gave him feedback. Austin went to his desk to try again.

**Slide 7 (Austin's 4th try):** This is Austin's fourth drawing. It's great, right? Remember, Austin was only in grade 1 (about 6 years old). At this stage, his peers praised him and said "Austin, you've got it!" He was very excited. Now, his teacher said he could include the markings on the wings. He eagerly went back to his desk.

**Slide 8 (Includes markings):** Here is the fifth version, with the markings. Again, he received praise. Austin asked if he could now color it. The teacher said, "Yes!" He did, and this is what resulted (advance slide)

**Slide 9 (final color drawing):** It is amazing what children (and adults) can do when given the opportunity. In this case, the teacher set the standard high. She didn't settle for mediocrity. She stretched Austin to do his best work, and, very importantly, she and his classmates offered the support and time he needed to reach that level of quality. But there is no way he could have done this drawing on the first attempt. Getting to quality required a cycle of continuous improvement.

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<sup>1</sup> EL Education (formerly Expeditionary Learning) developed the story of "Austin's Butterfly" as a tool to demonstrate the power of respectful, constructive, and continuous feedback in producing high-quality work. Source: EL Education, *Models of Excellence: Austin's Butterfly Drafts*, ANSER Charter School, Boise, Idaho, USA, <http://modelsofexcellence.ededucation.org/projects/austins-butterfly-drafts>. Also see video of Ron Berger, Chief Academic Officer at EL Education, presenting the concept in an elementary school: <https://vimeo.com/38247060>.

**Slide 10 (bird):** The kindergarten classes at Austin's school were asked to draw local bird species. The class made greeting cards from their drawings.<sup>2</sup>

**Slide 11 (back of card):** This is the back of the greeting card. At this elementary school, the fourth-grade students were also involved in this project. They researched the species that the kindergarteners were drawing. Together, they created these greeting cards, which they sold in local stores in order to raise money for an organization whose mission is to protect endangered species. So, the entire project was a social enterprise that contributed to sustaining our earth and its valuable resources.

**Slide 12:** Lessons learned

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<sup>2</sup> Source: EL Education, *Models of Excellence: Bird Cards*, ANSER Charter School, Boise, Idaho, USA, <http://modelsofexcellence.eleducation.org/projects/bird-cards>



## APPENDIX B: QUALITY CRITERIA

### Criteria

These succinctly stated and aspirational criteria, listed by domain, serve as the basis for the Quality Assurance Framework. They represent a limited number of evidence-based features of a comprehensive technical and vocational education and training center and program.

#### Leadership

- **VISION AND MISSION.** Center and program are guided by a clearly defined vision and mission, supported by all key stakeholders
- **LEADERSHIP.** Qualified leaders demonstrate a high degree of competence and, through distributed leadership practices and shared decision-making, have earned trust and support across all stakeholder groups
- **CULTURE.** There is a culture that promotes inclusiveness, collaboration, and transparency, with all stakeholders participating in continuous improvement of services and sharing responsibility for positive results
- **PLANNING.** Center conducts periodic strategic reviews to draft multiyear improvement plans, and implements plans in a way that promotes resource alignment and program coherence
- **DATA AND ACCOUNTABILITY.** Center collects, maintains, and regularly analyzes student-level data to inform continuous improvement and decision-making, thus ensuring mutual accountability for results

#### Partnerships

- **DEMAND.** Training areas are aligned with occupations that are currently and projected to continue to be in demand in the regional economy
- **BUSINESS AND INDUSTRY.** Center maintains strong working relationships with multiple employers in related industry sector(s) who play active roles in promoting, supporting, and guiding the center, its staff and students—i.e., by offering regular advisement; hosting work-based learning and apprenticeship opportunities; informing curriculum, instruction, and assessment; and supporting facilities and equipment
- **GOVERNMENT.** Center maintains strong relations with local and regional ministry representatives, and partners with them to ensure ongoing guidance and support
- **COMMUNITY.** Center maintains strong relations with local community, and partners with the community to recruit students, ensure effective use of and access to facilities, and coordinate with local providers to offer student support
- **EDUCATION AND TRAINING INSTITUTIONS.** Center maintains mutually beneficial agreements with other education and training institutions in order to facilitate smooth transitions for students

#### Equity and Access

- **MARKETING.** Outreach strategies target the recruitment, enrollment, and success of poor and vulnerable youth

- **EQUITABLE ACCESS.** Policies and practices ensure that any interested and qualified student can be admitted, enrolled, supported, and successfully complete the program
- **TARGET POPULATIONS.** Policies and practices promote the recruitment, enrollment, support, and program completion for targeted populations, such as poor and vulnerable youth, people with disabilities, and girls and women in nontraditional career fields
- **SUPPORT.** Target populations have access to a full range of supports to ensure ease of enrollment, successful completion, and timely transition to employment. Services may include tutoring, counseling, housing, health care, child care, job placement, and more
- **FINANCIAL AID.** Students with financial need are offered scholarships so that they may enroll and complete the program in order to participate in the local economy and support their families

### Teaching and Learning

- **PROGRAM.** The learning program is clearly defined and articulated, including standards, curricula, syllabus, instructional methods, and assessments
- **CURRICULUM.** Academic and technical curriculum is aligned with national standards, validated by industry advisors, and evaluated and updated on a regular schedule; it ensures that students will have the necessary academic foundations to complete the program, enter the workforce, and enjoy mobility once employed
- **INSTRUCTION.** Instruction is interactive and project-based, is designed to promote students' demonstration of competencies, and includes practical experience in work settings
- **ASSESSMENT.** Assessment is performance-based, requiring students to demonstrate their mastery of knowledge, skills, and workplace competencies, resulting in certification validated by industry and portable for employment
- **QUALITY.** The program strives toward and achieves a level of quality leading to accreditation by national or international agencies, when available

### Operations

- **HUMAN RESOURCES.** Center operates a transparent recruitment and hiring process, hires based on demonstrated competency and qualifications, provides ample support for professional growth of employees, and manages an effective staff evaluation system
- **FACILITIES.** Facilities are safe, appropriate to accommodate the student population, designed to reflect workplace realities, maintained effectively, and upgraded as needed
- **FINANCE.** Center maintains sound financial practices, including transparent budgeting processes, revenue and spending plans, and annual financial audits

## APPENDIX C: SELF-ASSESSMENT RUBRIC

### 1. Leadership

High-quality education and training centers begin with a clear vision and strong leadership that promote a collaborative culture, thoughtful planning, a commitment to continuous improvement, and accountability for results.

	1 – Foundational	2 – Emerging	3 – Advancing	4 – Sustaining
<b>1a Vision and Mission</b> Center and program are guided by a clearly defined vision and mission, supported by all key stakeholders	The vision and mission were established by a small group of leaders and are on public display	The vision and mission have been revisited in recent years, revised and validated by staff, and are referenced in planning discussions	The vision and mission were developed with input from a range of stakeholders, are used to inform program design, and are considered in decisions related to resource allocation	The vision and mission were created or updated in recent years through a collaborative process involving many stakeholders; they very clearly drive all decisions related to program advancement and resource allocation
<b>1b Leadership</b> Qualified leaders demonstrate a high degree of competence and, through distributed leadership practices and shared decision-making, have earned trust and support across stakeholder groups	Program director meets basic qualifications (experience, degree) and confidently makes decisions related to all aspects of program and center operations	Program director exceeds basic qualifications, has demonstrated competence, is trusted by staff, and confidently makes decisions related to all aspects of program and center operations	Program director shares leadership with others, delegating responsibilities, offering both trust and support for them to succeed	Program director facilitates a high-functioning leadership team whose members work collaboratively to share decisions and hold themselves collectively accountable for results
<b>1c Culture</b> There is a culture that promotes inclusiveness, collaboration, and transparency, with all stakeholders participating in continuous improvement of services and sharing responsibility for positive results	Director shares information with staff and partners through newsletters, meetings, and other means	Director collaborates with teachers to discuss center's assets and gaps, determine strategies for improvement, and make joint decisions about shifts in services	Director and teachers engage key stakeholders in dialogue about center's services and results, and invite stakeholders to advise on improvements	Interested individuals from across stakeholder groups are involved in an open process to assess impact of current services, inform programmatic and systemic shifts, and assume shared responsibility for improved results
<b>1d Planning</b> Center conducts periodic strategic reviews to draft multiyear improvement plans, and implements plans in a way that promotes resource alignment and program coherence	Leaders have established some general targets that guide the center's enrollments and determine success rate	Leaders have set clear growth goals and allocated resources designed to meet those goals	Leaders have engaged staff and potentially partners to develop a strategic plan that guides future growth	Leaders are making good progress following a current strategic plan that guides and focuses improvement efforts and associated resource allocation
<b>1e Data and Accountability</b> Center collects, maintains, and regularly analyzes student-level data to inform continuous improvement and decision-making, thus ensuring mutual accountability for results	Director collects and analyzes student-level data and uses them to make decisions for program improvement	Teachers have access to standard reports and capacity to use them to inform programmatic decisions and improvements	Teams of teachers have access, training, and capacity to generate standardized and customized reports, analyze them, and use them to inform decisions about program improvement	Cross-stakeholder team regularly accesses and analyzes standard and customized data reports, and uses them to inform decisions and hold themselves mutually accountable for improved results

## 2. Partnerships

High-quality education and training centers develop and nurture lasting partnerships with business and industry leaders, government representatives, and community organizations, in order to sustain program quality and ensure ongoing alignment with local and regional workforce needs.

	1 – Foundational	2 – Emerging	3 – Advancing	4 – Sustaining
<b>2a Demand</b> Training areas are aligned with occupations that are currently and projected to continue to be in demand in the regional economy	The program's industry theme is aligned with director and/or faculty expertise, combined with student interest	The program's industry theme has been based on labor market demand since the center was founded	Both the program and its curriculum align with a somewhat recent and reputable data source on regional labor market trends	Both the program and its curriculum adjust continuously to align well with multiple recent and reputable sources of data on regional and national labor market trends; completion yields a portable industry certification
<b>2b Business and Industry</b> Center maintains strong working relationships with multiple employers in related industry sector(s) who play active roles in promoting, supporting, and guiding the center, its staff, and students	Teachers and/or director have personal relationships with professionals in related fields and consult with them for advice, when needed	Teachers and/or director have nurtured several informal business and industry partnerships, each of which promotes and supports the program (e.g., curriculum design, equipment donations, mentoring of students, offers of worksite visits and guest speakers)	A mix of informal and formal business and industry partnerships extending over several years demonstrates the commitment of partners who see value in the program and support it in several ways, both programmatic and systemic	Long-standing, formalized, and active business and industry partnerships result in regular employment of graduates, sustainable funding, routine advising, shared facilities and equipment, and ongoing engagement with students and teachers (apprenticeship, mentoring, etc.)
<b>2c Government</b> Center maintains strong relations with local and regional ministry representatives, and partners with them to ensure ongoing guidance and support	Director is in contact with at least one local or regional ministry representative and accesses resources offered (information, funding, training, etc.)	Director has developed a relationship with several local and regional ministry representatives and leverages differential support, based on need (information, funding, training, certification, accreditation, best practices, etc.)	The center is accredited by the ministry, interacts regularly with ministry representatives, networks with other accredited centers, and benefits from a full range of government supports and services	The center is recognized by the ministry as a model program and enjoys the benefits of serving as a leader among other regional centers (hosting trainings and visits, sharing best practices, participating on national committees, etc.)
<b>2d Community</b> Center maintains strong relations with local community, and partners with the community to recruit students, ensure effective use of and access to facilities, and coordinate with local providers to offer student support	Director has developed working relationships with leaders of one or more community organizations and leverages them to help support the center and its students in areas of need	Director nurtures several ongoing informal relationships with local community organizations and leverages them in strategic ways to arrange services to support the center and its students in areas of greatest need (financial aid, recruitment, shared facilities, housing, health care, etc.)	A mix of formal agreements and informal arrangements with community organizations helps the center and its students access the most needed support services, which may include housing, child care, health care, transportation, financial aid, recruitment, shared facilities, etc.	Long-standing formal agreements dictate the terms of mutually beneficial partnerships with community groups, which offer a full range of support services to students, including housing, child care, health care, transportation, financial aid, recruitment, shared facilities, etc.
<b>2e Education and Training Institutions</b> Center maintains mutually beneficial agreements with other education and training institutions to facilitate smooth transitions for students	Center staff has established working relationships with teachers, counselors, and leaders from local feeder schools, who promote the training center among their students	Center staff (and students) visit feeder schools to promote the training programs to prospective students, arrange for facilitated admission and enrollment, and coordinate necessary support services for new students	In addition to partnering with feeder schools, director builds relationships with regional tertiary institutions that may be of interest to center graduates and strategizes ways to support smooth student transitions	Center and its students benefit from formalized partnerships with both local feeder schools and regional tertiary institutions that facilitate student transitions from one program to the next by guaranteeing admission, facilitating enrollment, sharing data, articulating curriculum, and more





### 3. Equity and Access

High-quality education and training centers pay particular attention to ensuring access, opportunity, and success of poor and vulnerable youth who historically have faced substantial challenges to participate fully in an increasingly global and competitive workforce.

	1 – Foundational	2 – Emerging	3 – Advancing	4 – Sustaining
<b>3a Marketing</b> Outreach strategies target the recruitment, enrollment, and success of poor and vulnerable youth	Informative brochures or flyers accurately portray and promote the center's programs and services to anyone who seeks information	Electronic and print information about the center's programs and services is "pushed" to potential students following an established outreach strategy	Dedicated center staff target outreach to prospective students who are poor, vulnerable, female, and disabled following a multidimensional strategy to optimize interest and enrollment	Through demographic analysis of current students and feedback from current and prospective students, dedicated staff continue to improve their recruitment strategy to annually increase enrollment and success of poor and vulnerable youth
<b>3b Equitable Access</b> Policies and practices ensure that any interested and qualified student can be admitted, enrolled, and supported, and can successfully complete the program	Center practices allow any interested and qualified student to be admitted to and enroll in its programs	Center has a clearly stated goal of helping every enrolled student to successfully complete the program	Center policies guarantee open access, admission, and enrollment to any interested and qualified candidate. Center assists students with the admissions and enrollment process to facilitate access, especially to those who are poor and vulnerable, women, or disabled	Clearly stated and fully resourced board-approved policies establish center's obligation to guarantee equitable access to any interested and qualified student and provide necessary resources to ensure successful program completion and transition to employment
<b>3c Targeted Populations</b> Policies and practices promote recruitment, enrollment, support, and program completion for targeted populations, such as poor and vulnerable youth, people with disabilities, and girls and women in nontraditional careers	Center publicly acknowledges the need to increase access, enrollment, and success for those individuals who are members of one or more target populations, articulated as a priority for government, aid organizations, and/or others	Center implements new and/or improved practices that cater recruitment and marketing strategies (see 3a) and student supports (see 3d) to intentionally address the unique interests and needs of individuals who are members of target populations	Center routinely practices and approves policies that systematize the intentional recruitment, enrollment, support, completion, and successful transition to employment of members of target populations; various forms of data are used as a basis to annually reevaluate, adjust, and improve these practices	Center serves as a regional model for serving individuals from target populations and freely shares its practices and policies with other institutions in an effort to greatly expand opportunities for those who make up target populations
<b>3d Support</b> Target populations have access to a full range of supports to ensure ease of enrollment, successful completion, and timely transition to employment. Services may include tutoring, counseling, housing, health care, child care, transportation, job placement, and more	Center either provides and/or has made arrangements for several types of support services that are accessible to students, upon request	Through informal and formal agreements with community partners (see 2d above), center coordinates multiple services to meet the individual needs of poor and vulnerable students	Through formal agreements and informal arrangements with community partners (see 2d above), center coordinates, facilitates, and guarantees delivery of a full range of support services to poor and vulnerable students, including tutoring, counseling, housing, health care, child care, transportation, job placement, and more	Before students enroll, center staff assess individual student needs and arrange related support services, initiated immediately as part of a comprehensive support package for individual success. On a regular basis, center reevaluates students' needs as well as service effectiveness in order to promote continuous improvement of service delivery

	1 – Foundational	2 – Emerging	3 – Advancing	4 – Sustaining
<p><b>3e Financial Aid</b></p> <p>Students with financial need are offered scholarships so that they may enroll and complete the program in order to participate in the local economy and support their families</p>	Center offers advisement and referrals to students who seek financial aid that would allow them to enroll and complete the program	Center coordinates dispersal of government and/or foundation loans, grants, and scholarships to help students who require financial aid to enroll, complete the program, and successfully transition to employment	Through commitments by industry partners or other reliable sources, students with financial need are offered at least partial scholarships to help defray costs associated with enrollment, support services, program completion, and transition to employment	Through sustained formal commitments by industry partners or other reliable sources, over a multiyear period, the center has offered to and guaranteed receipt of a full scholarship for any student with financial need





## 4. Teaching and Learning

High-quality education and training centers rely on clearly defined programs of study with curriculum, instruction, and assessment that continue to be updated based on current and future workforce needs.

	1 – Foundational	2 – Emerging	3 – Advancing	4 – Sustaining
<p><b>4a Program</b></p> <p>The learning program is clearly defined and articulated, including standards, curricula, syllabus, instructional methods, and assessments</p>	<p>Each program has clearly defined student outcomes, an approved syllabus, and necessary curricular materials to support student achievement of the outcomes</p>	<p>Each program has clearly defined and broadly articulated student outcomes and standards, with curriculum and assessments designed intentionally to align with outcomes in order to ensure program coherence</p>	<p>Each program—including its outcomes, standards, curriculum, instruction, and assessments—has been updated in the past three years based on input from industry partners to promote alignment between program outcomes and current workforce needs</p>	<p>Each program—including its outcomes, standards, curriculum, instruction, and assessments—has been developed and annually updated collaboratively by educators and industry partners (see 2b) to ensure tight alignment between program outcomes and workforce needs</p>
<p><b>4b Curriculum</b></p> <p>Academic and technical curriculum is aligned with national standards, validated by industry advisors, and evaluated and updated on a regular schedule; it ensures that students have necessary academic foundations to complete the program, enter the workforce, and enjoy mobility once employed</p>	<p><b>TECHNICAL SKILLS.</b></p> <p>The center’s teachers offer an informal technical curriculum that reflects national standards and may lead to a certificate of completion created by the center</p>	<p>The center’s technical curriculum aligns with national and industry standards and is designed to aid all students in earning available government and/or industry certifications</p>	<p>The center creatively adapts national academic and technical standards to offer an applied or contextual learning approach that effectively blends technical training with just-in-time academic skill development (literacy and numeracy). The blended approach is designed to prepare students to meet or exceed both academic and technical standards and earn established government and/or industry certifications</p>	<p>The center’s regularly updated curriculum intentionally integrates academic and technical knowledge and skills that simultaneously meet or exceed national and industry standards. The integration ensures that the vast majority of students earn relevant government and/or industry certifications and are prepared for advanced study, should they choose to pursue it</p> <p>As part of the program, all students not only complete a standardized curriculum designed to promote soft skills, but also demonstrate their skills to teachers and employers who assess their performance and validate it by awarding a portable certificate</p> <p>As part of the program, all students not only complete a course in entrepreneurship, but also are granted a microloan to start their own business in order to test their skills and learn through practice and action</p>
	<p><b>ACADEMIC SKILLS.</b></p> <p>The center assumes that students enter their program(s) with ample academic preparation necessary to complete the technical training</p>	<p>In addition to technical curriculum, the center (or a partner) offers students literacy and numeracy education that enables them to approach performance levels expected by national standards</p>		
	<p><b>WORK READINESS.</b></p> <p>Teachers regularly share with students the importance of soft skills: professionalism, integrity, responsibility, positive attitude, teamwork, work ethic, etc.</p>	<p>Program offers a course or workshops designed specifically to help students develop the soft skills needed to gain and retain employment</p>	<p>As part of the program, all students complete a standardized curriculum designed to promote soft skills and are held responsible for demonstrating those skills at school and in work-based learning experiences</p>	
	<p><b>ENTREPRENEURSHIP.</b></p> <p>Teachers encourage students to be entrepreneurial, share their insights and advice, and cite many examples of how students can pursue entrepreneurial ventures</p>	<p>Program offers a course or workshops to help interested students develop skills needed to start their own business should they choose to do so upon graduation</p>	<p>As part of the program, all students complete a course in entrepreneurship and receive a certificate as evidence of their training</p>	

	1 – Foundational	2 – Emerging	3 – Advancing	4 – Sustaining
<p><b>4c Instruction</b> Instruction is interactive and project-based, is designed to promote students' demonstration of competencies, and includes practical experience in work settings</p>	Students receive mostly teacher-centered, classroom-based instruction that promotes mastery of technical knowledge and demonstration of technical skills	Individually and in groups, students work on projects that simulate workplace challenges and require them to both practice and demonstrate workplace competencies and technical skills	Individually and in groups, students complete simulated and real projects that require ample practice with and demonstration of workplace competencies and technical skills. A work-based learning component (i.e., workplace visits, job shadowing) allows students to see how their learning is applied in industry settings	Both at school and through extended work-based learning experiences (i.e., internships, apprenticeships), students have opportunities to collaborate on real-world projects with classmates and industry mentors. This approach optimizes students' ability to practice and demonstrate workplace competencies and technical skills
<p><b>4d Assessment</b> Assessment is performance-based, requiring students to demonstrate their mastery of knowledge, skills, and workplace competencies, resulting in certification validated by industry and portable for employment</p>	Students demonstrate their technical knowledge and skills primarily through paper-and-pencil exams and simple demonstrations; course and program grades serve as proxies to validate workplace competency and technical skills	Students demonstrate mastery of technical knowledge and competence of technical skills through simulated workplace tasks evaluated by the teacher. Performance on these tasks determines whether they will receive a certificate issued by the center, government, or industry	Students demonstrate mastery of technical and academic knowledge and skills, as well as technical and workplace competencies, through a combination of simulated and actual workplace tasks. Evaluation is shared by the teacher and industry professionals	Through authentic demonstration of technical and academic knowledge and skills, as well as technical and workplace competencies, industry professionals validate the students' competence, resulting in portable industry certification
<p><b>4e Quality</b> The program strives toward and achieves a level of quality leading to accreditation by national or international agencies, when available</p>	The center and its programs have a good reputation in the local area and have been recognized by the local or regional ministry as meeting basic requirements for effective operation	The center and its programs are actively pursuing ministry accreditation by focusing staff attention and organizational resources on areas of growth	The center and its programs are accredited by the ministry as meeting requirements for effective operation, and have an improvement plan to continue to advance program quality	The center and its programs have been awarded "model" status by the ministry for demonstrating exemplary practices and student results. The center continues to pursue excellence, while also dedicating resources to advance the quality of other local and regional centers



## 5. Operations

High-quality education and training centers depend on supporting policies and practices in the operational areas of finance, facilities, and human resources.

	1 – Foundational	2 – Emerging	3 – Advancing	4 – Sustaining
<b>5a Human Resources</b> Center operates a transparent recruitment and hiring process, hires based on demonstrated competence and qualifications, provides ample support for professional growth of employees, and manages an effective staff evaluation system	<b>RECRUITMENT.</b> Employees are aware of job openings and help recruit candidates through their personal networks	Director posts all openings to local and regional job boards, including ample information about requirements and qualifications	Comprehensive information about all openings is posted to several local, regional, and online services	Director either creates or takes advantage of broadly used and endorsed venues for posting all openings, ensuring that any interested candidate will see it
	<b>HIRING.</b> Director hires employees who have the requisite credentials and experience that imply adequate qualifications for the job opening	Director hires qualified and experienced employees who have strong referrals from trusted sources and can show evidence of relevant success during past employment	Director uses a collaborative hiring process that invites several colleagues to participate in the process—screening applications, interviewing, examining work samples, etc.	Hiring is a shared responsibility among multiple stakeholders, each assessing respective features of a candidate’s qualifications and experiences and contributing to the final decision
	<b>PROFESSIONAL GROWTH.</b> Director encourages employees to continue learning through networking, professional reading, coursework, and conferences	Director expects ongoing professional growth by all employees and arranges or provides training sessions aligned with organizational goals and needs	Director prioritizes professional growth for all employees and designs ways for them to personalize their learning to meet both individual and organizational goals and needs	Director creates a culture that promotes and nurtures a true community of learners who leverage their individual and collective expertise and learning to benefit the entire organization
	<b>EVALUATION.</b> Director uses informal observation, anecdotal data from students and colleagues, and/or other sources to conduct annual staff evaluations	Director manages a systematized performance review process based on known criteria	Director coordinates a performance review process that includes standardized expectations, combined with individual reflection and review based on differentiated goals and needs	Director establishes a culture of shared learning and mutual accountability, strengthened by coaching, mentoring, reflection, and self-assessment
<b>5b Facilities</b> Facilities are safe, appropriate to accommodate the student population, designed to reflect workplace realities, maintained effectively, and upgraded as needed	Facilities allow students access to and safe use of simple equipment, adequate for gaining basic conceptual technical understanding and for periodically participating in hands-on practice	Students benefit from safe, regular (e.g., 2x/week) use of adequate facilities and equipment that provides solid conceptual and technical understanding and skills acceptable by hiring companies that are willing and prepared to dedicate company resources to upgrade skills	Students benefit from safe, daily use of well-maintained, relatively current facilities and equipment that ensures a level of conceptual and technical training preferred by hiring companies	Students benefit from safe, unlimited use of well-maintained state-of-the-art facilities and equipment that replicate current workplace standards for leading companies

	1 – Foundational	2 – Emerging	3 – Advancing	4 – Sustaining
<p><b>5c Finance</b></p> <p>Center maintains sound financial practices, including transparent budgeting processes, revenue and spending plans, and annual financial audits</p>	<p>One or more stable sources of income allow for relative fiscal stability. Trained finance manager maintains accurate records of revenues and expenses</p>	<p>3+ years of increasing revenues with one or more stable sources of income demonstrate fiscal stability and growth. Trained finance manager creates and adheres to growth-based revenue and spending plan using sound fiscal practices</p>	<p>5+ years of operating with multiple financing sources demonstrate fiscal stability. Well-trained finance staff use acceptable industry practices to manage finances. Center makes available to stakeholders a summary of annual revenues and expenses</p>	<p>10+ years of operating with multiple and flexible financing sources demonstrate fiscal stability and sustainability. For efficiency and to support transparency, well-trained finance staff use proven web-based tools to manage finances and make projections. Unfettered stakeholder access to budgets, expenditures, projections, and results of annual audits make finances transparent</p>



## APPENDIX D: SAMPLE TRAINING CENTER PROFILE

### Overview

The “Sample Training Center” was founded five years ago, with Mr. Boss as the director. It is located in a somewhat impoverished area on the outskirts of a major industrial city that hosts both small, family-owned businesses and large plants operated by multinational corporations. The industries in the area are relying increasingly on new technologies and thus requiring more highly skilled and trained employees. Most local companies are having difficulty finding qualified employees in the local area, suggesting that there should be no shortage of potential private sector partners for Sample Training Center.

The center operates on land that was once occupied by a timber yard. There is plenty of land for expansion, but first the existing buildings and structures will need repairs and reinforcement to be safe and functional for education and training purposes.

With a focus on the building trades, the center began with a carpentry program and has since added two others: masonry and welding. Over the five years, the center has grown from its initial cohort of 27 students to over 200 students today. Of the 200+ students, only 11 are female, two have disabilities, and about 40 are considered “street children.”

### Leadership

Before founding the Sample Training Center, Mr. Boss was a carpentry instructor for 20 years. During those years, he had many chances to attend workshops not only on teaching carpentry, but also on training center finance, recruitment, and pedagogy. When starting the center, he was somewhat confident with his knowledge and skills, but he also recognized that he lacked expertise in some areas, so he surrounded himself with a talented team that he trusts. Many of the administrators and instructors have been at Sample Training Center for several years. The staff meets every Monday afternoon. When they do, they have fun and enjoy each other’s company, but they also get important work done. For the most part, they operate as a collaborative team with mutual trust and respect, relying on one another for guidance and support.

In recent weeks, the staff has been engaged in some deep (and sometimes contentious) discussions about the growth of the center. Not everyone agrees on the priorities—i.e., should they increase enrollment in each of their three programs, or add a fourth (and even fifth) program area? Should they close their hostel and make it a “day school” only, or continue with boarders, who have proven challenging for staff? Should they continue training students with only technical skills, or also incorporate more academic and entrepreneurship skills in order to offer a more well-rounded training experience for students? Do they need to build a new classroom block in order to accommodate possible growth, or try to squeeze into their current facilities? If they do decide to build, where will the funding come from?

All of this discussion has led Mr. Boss to engage his Board of Management to consider whether it may be worthwhile to invest time (and resources) to do some serious strategic planning. Until now, they have been happy to expand organically with some vague growth targets, but nothing formalized. They have gathered basic data for government reporting, but have not ventured to gather more robust data and use them for evaluation and planning purposes.

A few years ago, in preparation for his center to become accredited by the ministry, Mr. Boss engaged two of his instructors and some board members to establish a vision and mission. Now, when you enter the center, you see the vision and mission proudly displayed on the wall, even though Mr. Boss admits that they are a bit out of date. He has considered revisiting them, but has not yet made the effort to do so. Maybe it can be part of an upcoming strategic planning effort?

### Partnerships

Mr. Boss started Sample Training Center at a time when there was an explosion of construction projects in the region, so carpentry was the ideal program to introduce first. Over time, Mr. Boss learned that construction companies were bringing other types of building specialists from outside the district, and even from outside of the country. In response, Sample Training Center added programs in welding and masonry. The new programs have remained small, but the student job placement levels are near 100%. Recently, there has been increasing private sector demand for plumbers and electricians. Some of the recent discussions about expansion focus on whether to add one or both of those programs.

Mr. Boss' first private sector partner was one of his board members, Mr. Business, who owns a local construction company. Mr. Business has employed some of Sample Training Center's graduates, but he has limited employee turnover. At Mr. Boss' request, Mr. Business encouraged several other local construction companies to look to Sample Training Center's graduates for new employees. Through informal relationships, several others have done so. This has made it possible for the majority of Sample Training Center's graduates to be employed upon program completion. One of the new partners has approached Mr. Boss about making improvements to the training, including teaching some additional skills, use of new equipment, and even adding electrical and plumbing programs. To facilitate these improvements, the company has donated a handful of power tools. The discussions about other improvements continue.

Since Mr. Boss grew up in the village, the local community is very supportive of him, the school, and its students. In fact, Mr. Boss's aunt runs a large nongovernmental organization (NGO) that cares for street children. Early on, she offered to establish a dormitory to house about 10–12 boarding students. This worked well for some time, with students receiving not only housing, but also meals, limited health care, and even some evening math and literacy tutoring. However, last year, the NGO's major donor pulled out, leaving the NGO very challenged to continue to offer services. At that time, Mr. Boss took the boarders on at a previously abandoned building near the center, but staffing and resources to support the boarders have been inconsistent and an ongoing source of stress. Questions about whether to continue the boarding program keep popping up in discussions with staff, community, and advisors.

### Equity and Access

Mr. Boss has a passion for helping street children, which he acknowledges comes from years volunteering with his aunt's NGO. When he started the school, he committed to enrolling and supporting as many older street children as possible, even though he knew it would be challenging. While he has succeeded in recruiting and enrolling up to 20% of Sample Training Center students from among this poor and vulnerable population, he finds that the vast majority do not complete the program because of various challenges they face—housing, transportation, illness, caring for siblings, etc. So, he worked to offer and/or find supports for these students. For example, he has found a donor to sponsor the fees for some. A nurse comes to the school one afternoon a week to address health concerns. And he has set up a small day care center on



site for younger siblings and/or children of students. In recent months, he has been working to identify local NGOs that can provide these and other services so that he may continue and even extend the services to his neediest students without having to manage it all himself.

Mr. Boss engaged a recent graduate to design a simple website, which was intended as a static informational site for donors, rather than as a dynamic recruitment tool. The same graduate also designed a simple flyer, which Mr. Boss distributes through local shops. He has not yet ventured into social media for recruitment, but he wants to do so in the coming months. For recruitment, Mr. Boss relies heavily on word of mouth, as some of the neediest prospective students do not have phones and have low-level reading skills.

### Teaching and Learning

As a former instructor, Mr. Boss has dedicated much of his time over the years to establishing, maintaining, and improving a high-quality technical program of study for his students. Each of the three existing programs has a very clearly articulated syllabus and curriculum, as well as associated assessments (both paper-and-pencil and simulated demonstrations)—all of which are aligned with the ministry's standards. When students successfully demonstrate their technical knowledge and skills, upon graduation they receive a skills certificate issued by the center. Mr. Boss' efforts have paid off: In June 2015, the center became accredited by the ministry—a great source of pride and achievement.

In the past year or two, however, Mr. Boss has learned from his industry partners that the center's standards are not up to date, and thus, even when students complete the Sample Training Center program, they lack critical skills that employers expect of new employees. For this reason, employers don't always view the center's skills certificate as valuable for employment purposes.

In recent years, Mr. Boss' industry partners also have informed him that they are not always satisfied with the workplace competencies demonstrated by his graduates. For example, he has heard reports of graduates arriving late to work, lacking a strong work ethic, not communicating well with customers and co-workers, and not maintaining a positive attitude. While he and his instructors have attempted to incorporate work-readiness skills into the curriculum, it has been haphazard rather than institutionalized. He knows that he must research options for formalizing the teaching and learning of workplace skills, but just has not yet found or made the time.

When Mr. Boss has hired instructors, he has done so based primarily on their experience in the field, which ensures that they have strong technical skills. However, he has found that some of his instructors lack the ability to inspire and motivate students and engage them actively in learning. Perhaps this should have been a higher priority in the hiring process? He has tried to remedy the situation by personally mentoring a couple of instructors and suggesting that others attend conferences and workshops aimed at improving instructional methods. As a result, Mr. Boss has noticed some improvement, but he knows that the faculty can do better.

Mr. Boss acknowledges that he is his own biggest critic. The reality is that the majority of his students are very pleased with the quality of training they receive at Sample Training Center. In fact, the center has a very good reputation among community members and local business partners.

### Operations

Like many training centers, Sample Training Center struggles financially, gaining the vast majority of its income from tuition and fees and from government support. For the past two

years, the center has benefited from receiving additional funds from two donors. Sample Training Center's experienced finance director, Mrs. Money, has put in place solid accounting procedures to accurately manage income and expenditures in a way that stays well within the center's budget. Mr. Boss typically includes the staff in many of the financial decisions for the school. They are all aware of the revenues and the competing demands for expenditures. Each year, the team makes some rough financial projections based on revenue anticipated from enrollment growth, and then determines priorities for expenditures. Mr. Boss likes having an open, transparent process, as it helps all staff to be fully invested in the center and its success. It also holds everyone collectively accountable.

Often, the most substantial spending decisions that the team must make relate to facilities and equipment. Sample Training Center's facilities are adequate, but simple. There is enough classroom space only because the programs share classrooms—i.e., one group is in the workshop while another is in class; then they switch. The same is true for the equipment and workshops. There's not enough for everyone to be working at the same time. They take turns, which limits practice for each student. And as industry partners have indicated, the tools and equipment are not up to date. Most equipment is more than 15 years old and in poor condition. Sample Training Center continues to invest in improvements to its facilities and equipment, but it never seems to be enough.

Mr. Boss has been fortunate to enjoy relative stability of his staff, but he typically needs to hire one or two new staff each year. He works with the ministry to post job openings, but supplements their newspaper postings with word of mouth, getting news out through his professional network. He works with the county government to ensure that all staff have the necessary credentials and are hired using the county's processes and procedures.

Mr. Boss has taken the lessons he has learned from the inclusive, open financial decision-making processes and applied them to staff evaluation. Two years ago, he started a process of peer observation, periodically freeing one instructor for a day to "shadow" another instructor at the center. Through that process, he hoped to help instructors learn from one another and open more dialogue about promising instructional practices. The instructors greatly appreciated the opportunity and have strengthened their collaboration. Last year, when it came time to evaluate staff, he built upon this practice and instituted a more formal process that includes reflection, peer observation, and director observation. For each instructor, there is an open conversation about professional expectations, strengths, and areas of growth. The results of these discussions inform the development of a "professional growth plan" for each instructor. This more inclusive, formalized process has been extremely valuable and has led to rich, meaningful discussions about educational quality and continuous improvement. It has also led to a shared sense of mutual accountability.

## APPENDIX E: RECORD SHEETS FOR SELF-ASSESSMENT

Instructions: Small groups of participants at QAF General Trainings and the cross-stakeholder teams at self-assessment workshops will need one each of the following five sheets.



### 1. Leadership

Team member number	1	2	3	4	5	6	7	8	9	10	11	12	Consensus score
Team member name													
1a Vision and Mission													
1b Leadership													
1c Culture													
1d Planning													
1e Data and Accountability													



## 2. Partnerships

Team member number	1	2	3	4	5	6	7	8	9	10	11	12	Consensus score
Team member name													
2a Demand													
2b Business and Industry													
2c Government													
2d Community													
2e Education and Training Institutions													

 3. Equity and Access

Team member number	1	2	3	4	5	6	7	8	9	10	11	12	Consensus score
Team member name													
3a Marketing													
3b Equitable Access													
3c Targeted Populations													
3d Support													
3e Financial Aid													



## 4. Teaching and Learning

Team member number	1	2	3	4	5	6	7	8	9	10	11	12	Consensus score
Team member name													
4a Program													
4b(i) Curriculum: Technical Skills													
4b(ii) Curriculum: Academic Skills													
4b(iii) Curriculum: Work Readiness													
4b(iv) Curriculum: Entrepreneurship													
4c Instruction													
4d Assessment													
4e Quality													





## 5. Operations

Team member number	1	2	3	4	5	6	7	8	9	10	11	12	Consensus score
<b>Team member name</b>													
5a(i) Human Resources (HR): Recruitment													
5a(ii) HR: Hiring													
5a(iii) HR: Professional Growth													
5a(iv) HR: Evaluation													
5b Facilities													
5c Finance													



## APPENDIX F: SUMMARY OF SELF-ASSESSMENT RESULTS

Training Center Name: \_\_\_\_\_ Date of Assessment: \_\_\_\_\_

**Instructions:** As the team conducts its self-assessment, record the results for each row of the rubric, selecting from the following:

0 – Basic

1 – Foundational

2 – Emerging

3 – Operational

4 – Sustaining

Criteria	Score	Criteria	Score	Criteria	Score
<b>LEADERSHIP:</b>		<b>EQUITY AND ACCESS:</b>		<b>TEACHING AND LEARNING (cont'd.):</b>	
1a – Vision and Mission		3a – Marketing		4c – Instruction	
1b – Leadership		3b – Equitable Access		4d – Assessment	
1c – Culture		3c – Targeted Populations		4e – Quality	
1d – Planning		3d – Support		<b>OPERATIONS:</b>	
1e – Data and Accountability		3e – Financial Aid		5a(i) – Human Resources (HR): Recruitment	
<b>PARTNERSHIPS:</b>		<b>TEACHING AND LEARNING:</b>		5a(ii) – HR: Hiring	
2a – Demand		4a – Program		5a(iii) – HR: Professional Growth	
2b – Business and Industry		4b(i) – Curriculum: Technical Skills		5a(iv) – HR: Evaluation	
2c – Government		4b(ii) – Curriculum: Academic Skills		5b – Facilities	
2d – Community		4b(iii) – Curriculum: Work Readiness		5c – Finance	
2e – Education and Training		4b(iv) – Curriculum: Entrepreneurship		<b>AVERAGE SCORE</b>	



## APPENDIX G: ACTION PLAN TEMPLATE

The Action Plan Template is part of the comprehensive Quality Assurance Framework that was designed as a tool to help communities, national governments, and international aid organizations committed to improving workforce preparation to assess training centers' level of program quality and to monitor their growth.

The Action Plan Template is intended to help vocational education and training centers take the results of their self-assessment (completed using the rubric in **Appendix C**) and create an actionable plan for growth. Developing an action plan typically includes participation from a broad range of center staff and community partners, and may be guided by an external coach who facilitates an inclusive, reflective, and informed process.

This Action Plan Template is divided into five sections that match the rubric: Leadership, Partnerships, Equity and Access, Teaching and Learning, and Operations. Each of these is described in greater detail in **Appendix C**.

The subsections below are step-by-step instructions for teams from individual centers to prepare their action plans.

### Prioritizing Areas of Growth

Before beginning to create an Action Plan, determine the center's priority areas for growth. To do so, review the results of the self-assessment and identify the criteria for which the center scored at the lower levels (i.e., 0 – basic, 1 – foundational, and perhaps 2 – emerging). Of those, which are most essential to improve? Do some need to be addressed before others can be? Is there some “low-hanging fruit” that would allow the center to make some quick gains?

To stay focused, choose two or three areas of growth and write short-term (i.e., 90-day) Action Items. Then, once those Action Items are complete, choose two or three more, and continue quarterly in this way.

### Creating an Action Item

For each of the two or three prioritized areas of growth, create an Action Item. Use one action planning worksheet for each Action Item. In the top section of the action planning worksheet, record the Action Item, preceded by its criterion number (e.g., 1a – Vision and Mission), followed by the time frame, in days or months. The action item will be followed by the narrative and Action Steps.

- **Criterion:** Begin by writing the criterion name and number, taken from the rubric (e.g., 1a – Vision and Mission, or 5a – Human Resources).
- **Action Item:** The action item should be a succinct, clear statement of what the center aims to accomplish. Be as precise as possible.
- **Time Frame:** Record a realistic time frame for completing the action item, in either number of days (e.g., 45 days) or number of months (e.g., 3 months).

### Creating the Narrative

For each action item, begin with a brief narrative (or bulleted list) that describes the *key findings* from your self-assessment, the *desired outcomes*, and the *risks and challenges* of successful

implementation. The guidelines below recommend the type of information that you may wish to include.

**Key Findings:** Based on the self-assessment using the rubric, first create a bulleted list that summarizes the current capacity of the center and in the broader community to address the quality criterion. *What staff expertise, center resources, community support, and other forms of capacity can the center leverage to reach the desired outcomes for the criterion?*

Then, create a second list that identifies what is needed for growth. *Which strategies, processes, structures, norms, policies, plans, resources, and/or technical assistance are needed to move from here (current status) to there (desired outcome)? How can the center and community build capacity? What barriers must be removed?*

**Desired Outcomes:** For each action item, describe the outcome(s) that the center expects to see. *What would success look like? What is realistic to accomplish in the determined time period?*

**Risks and Challenges:** For each action item, describe any risks or challenges to successful implementation. *What traditions, beliefs, or mindsets might be challenged by new ideas about how to approach technical and vocational education? Where will it be difficult to build capacity? Which key center staff or partners may be difficult to engage? How might local politics affect plans? What are the causes of these challenges? What sacrifices or compromises may have to be made in order to make progress?*

**Project Management:** Effective project management is essential to the successful implementation of the plan. The **Executive Sponsor** should be a top-level administrator who dedicates necessary resources, provides guidance, and monitors progress. The **Workgroup Leader** oversees completion of the action item and its associated action steps by coordinating meetings, promoting collaboration, providing consultation, monitoring progress, and preparing status reports for and consulting with the Executive Sponsor.

## Developing the Action Steps

Each narrative will be followed by several strategic Action Steps, with the associated timeline, resources needed, person responsible, evidence of success, and current status. The guidelines below describe how each column of the Action Plan Template may be used.

**Action Step:** Identify and list a limited number (i.e., 3 to 6) of high-leverage Action Steps that strategically address the *needs* identified in the self-assessment. Some Action Steps may focus on ways to shift the center *structures, policies, practices, leadership, and culture* to support the implementation and sustainability of a high-quality training program. That is to say, it is sometimes preferred for Action Steps to be high-impact and systemic, rather than programmatic.

Every Action Step should be SMART (i.e., specific, measurable, achievable, realistic, and time-bound). *What strategic steps would be necessary to move from the current status to the desired outcomes? What would make the changes sustainable? How will they ensure equity?*

**Timeline:** In this column, include either a time span (e.g., Sep–Oct 2019) for working on this action step or a deadline (e.g., by Jul 31, 2020). Avoid using terms like “ongoing” or “continuous.” Revisiting and updating the plan is also important. It is reasonable to do so approximately every 3–6 months.



**Resources:** List the *existing resources* (funding, staff expertise, programs, partnerships) that will support the completion of each action step as well as any *new resources* (funding, capacity building, etc.) that will be needed. Consider both the resources of the center and those of its partner organizations, such as industry and community groups.

**Person Responsible:** In this column, identify (by name or title) the *one* individual who will be responsible for ensuring that this Action Step is completed successfully. Naming an individual does not imply that she must *do* the work—perhaps she manages the process or chairs a work group—but she is the one who will be held accountable for tracking results and ensuring that issues are addressed.

**Evidence of Success:** How will others know that this Action Step is completed successfully? What would be the result in terms of improved center functioning, collateral materials, student outcomes, data, or other indicators?

Try to avoid listing evidence such as meeting minutes, lists of participants, and the like. They seldom prove task completion, impact on student outcomes, shift in professional practice, or systems or culture change. Whenever possible, list evidence that is quantifiable.

## Tracking Progress

The final two columns of the template are *not* for use during the initial plan development. Instead, they will serve as a tool for regularly tracking progress to inform modifications of the plan, as needed.

**Status:** Indicate whether the status of each action step is green for “on track,” yellow for “delayed” or “limited progress,” or red for “no progress.” Of course, the goal is to make progress on and complete all Action Steps. However, it is only human nature for plans to be more ambitious than time and resources allow. When that occurs, it is important to pay most attention to the subset of Action Items that are highest leverage—i.e., those that have the most potential to shift systems, bring efforts to scale, and positively impact student learning outcomes.

As part of a process of ongoing evaluation and continuous improvement, the center will want to periodically reflect on its progress, review this Action Plan, and revise it as appropriate. Use the rubric to annually assess progress, and use the results of that self-assessment to inform revisions to the Action Plan.



ACTION ITEM		Executive Sponsor:
Criterion:	Action Item:	
	Time Frame:	Days / Months
<b>Section Narrative</b>	<b>Key findings from the self-assessment:</b>	
	<b>Desired outcomes for this action item:</b>	
	<b>Risks and challenges to successful completion of this action item:</b>	
<b>Workgroup Leader:</b>		

PLANNING					TRACKING PROGRESS		
Action Steps	Timeline	Resources	Person Responsible	Evidence of Success	Status		Notes
		Have:					
		Need:					
		Have:					
		Need:					
		Have:					
		Need:					
		Have:					
		Need:					
		Have:					
		Need:					

## APPENDIX H: SAMPLE ACTION ITEM

Action Item	Executive Sponsor: Board Chair
<b>Criterion:</b> <b>1a Vision and Mission</b>	Action Item: Engage multiple stakeholders to update our training center’s vision and mission statements so that they better reflect current circumstances and future goals, as set forth by the board. Time Frame: 75 Days
<b>Section Narrative</b>	<b>Key findings from the self-assessment:</b>
	<ul style="list-style-type: none"> <li>• Current vision and mission statements are outdated</li> <li>• Current vision and mission statements were created originally with minimal input from stakeholders and without board approval</li> <li>• They hang on the wall, but we never reference them or use them to guide decisions regarding program expansion, resource allocation, etc.</li> <li>• The center has grown, added programs, developed key partnerships with business and government, etc., leading to new goals and directions</li> </ul>
	<b>Desired outcomes for this action item:</b>
	<ul style="list-style-type: none"> <li>• A board-approved vision and mission statement that (a) effectively guides the center for the next 3–5 years, and (b) reflects the input (values, priorities) of multiple stakeholders, including students, parents, community partners, government representatives, business partners, instructors, management, and other staff</li> </ul>
	<b>Risks and challenges to successful completion of this action item:</b>
	<ul style="list-style-type: none"> <li>• Updating our vision and mission statements has an associated cost, which may not be approved by the board at this time</li> <li>• We will have to gather input from stakeholders in a way that honors their time, without placing an undue burden on them</li> <li>• The process of updating the vision and mission statements will require skilled facilitation, which we may not have on staff, and we may not have adequate funds to contract with a professional consultant / facilitator</li> <li>• Members of our community have different ideas about where our center should go in the coming months and years, so it may be difficult to come to agreement on updated vision and mission statements</li> </ul>
<b>Workgroup Leader:</b>	<b>Deputy Director, Ms. Leader</b>

Planning					Tracking Progress			
Action Steps	Timeline	Resources	Person Responsible	Evidence of Success	Status			Notes
					Red	Yellow	Green	
Gain board approval and funding to proceed with process	1 March	Have: Good relationship with board	Director	Written approval from board chair				
		Need: Time to meet with board chair						
Determine list of individuals from different stakeholder groups to participate, and invite them	15 March	Have: Good contacts with good will	Deputy Director	Agreement from invited participants, and their commitment to see the process through				
		Need: Secretary support						
Identify and secure a process facilitator	15 March	Have: Contact information for a few possible facilitators	Deputy Director	Signed agreement with professional facilitator				
		Need: Approved funds for contract						
Arrange meeting logistics (date, time, location, facilities, etc.) for full-day retreat	1 April	Have: Possible locations	Deputy Director	Signed agreement with venue, catering company				
		Need: Approved funds for venue, catering, etc.						
Prepare for and host retreat to complete task	15 April	Have:	Deputy Director	Completed final draft of updated vision and mission statements				
		Need: Staff support						
Finalize new vision and mission; publicize across community	1 May	Have: Local printers, webmaster	Deputy Director	New vision and mission posted in reception area and on training center website				
		Need: Approved funds for printing and website revision						
Use new vision and mission to guide center decisions	15 May	Have: Desire, need	Director	Examples of how vision and mission were used in decision-making				
		Need: Discipline, consistency						



## APPENDIX I: RECORD SHEET FOR ACTION PLANNING

*[Matrix to be transferred to large sheets of flipchart paper]*

Action Steps	Timeline	Resources	Person Responsible	Evidence of Success
		Have:		
		Need:		
		Have:		
		Need:		
		Have:		
		Need:		
		Have:		
		Need:		
		Have:		
		Need:		
		Have:		
		Need:		
		Have:		
		Need:		