Center for Excellence in Aging & Community Wellness

Quality & Technical Assistance Center

Supporting Evidence-Based Health Programs

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Developing a High Quality Workforce to Deliver Evidence-Based Interventions for Health

The following document outlines policies, procedures, protocols and mechanisms used to develop a high quality workforce in order to ensure the quality delivery of evidence-based interventions (EBIs) for health promotion and disease prevention by the New York State Evidence-Based Health Programs Quality & Technical Assistance Center (QTAC).

The program fidelity activities set forth in this document are part of the overall quality assurance and improvement strategies required of QTAC Partners. By following these standards closely, QTAC Partners will successfully meet CQI Performance Indicators found in the *QTAC Continuous Quality Improvement Plan*. We encourage you to consider ways to not only meet but to exceed these program quality and fidelity standards.

If you have questions, please contact the QTAC at the Center for Excellence in Aging & Community Wellness by email at QTAC@albany.edu or by phone at 518-442-5530 or 877-496-2780. Thank you for your continued commitment to quality program delivery.

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ABBREVIATIONS & DEFINITIONS

AC	Active Choices
ALED	Active Living Every Day
AMOB	A Matter of Balance
EBI	Evidence-Based Intervention
Facilitator	A person who was successfully trained (and certified, if required) to deliver to participants one of the EBIs promoted by the QTAC. This person is not permitted to train others to deliver the EBI to participants, unless he/she has also been trained as a "Trainer". Each program uses different terms (i.e., S-SMP Leader, NYS DPP Lifestyle Coach, Active Choices Activity Coach), so this term collectively represents them all. NOTE: A Trainer (see definition below) is also a Facilitator.
File Cabinet	An online collection of QTAC forms and helpful information specific to each QTAC-promoted EBI. Access is open to all here: http://www.ceacw.org/qtac/q-files
Leader	Workshop facilitator of one or more of the S-SMPs – may only co-lead workshops in the specific S-SMP he/she is trained to deliver.
LSC	Lifestyle Coach Program Facilitator of NYS DPP
NYS DPP	New York State Diabetes Prevention Program
Partner Portal	The NYS QTAC Partner Portal is an online registration and data management tool developed to assist QTAC Partners with local delivery of NYS QTAC promoted evidence-based health programs. Partners with a fully executed *QTAC Partnership Memorandum of Understanding* (MOU) are the primary users of the Portal. NYS QTAC Partners also have the ability to generate reports for their workshops. Reporting functions for the Portal include aggregate data reports on the type of workshops held, location, attendance and completion rates and basic demographic profile of participants. https://portal.ceacw.org/login
SPERC	Stanford Patient Education Research Center The developers of several licensed EBIs centered on self-management, i.e., *Chronic Disease Self-Management Program.* http://med.stanford.edu/patienteducation/
S-SMP	Stanford Self-Management Program Any of self-management EBIs for which the QTAC holds a license (i.e., *Chronic Disease Self-Management Program*). Please refer to the current SPERC License Agreement with the QTAC (The Research Foundation of the State University of New York on behalf of the Center for Excellence in Aging &Community Wellness) for a list of these programs.
Trainer	A person who was successfully trained (and certified, if required) to deliver, or facilitate, an EBI to participants AND to train others as "facilitators" of the EBI. Each program uses different terms (i.e., S-SMP Master Trainer, NYS DPP Trainer, ALED Facilitator Trainer), so this term collectively represents them all.
WWE-SD	Walk with Ease Self-Directed Program

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Quality Practices Leading to and During Training

Personnel Overview

Recruiting the right people to deliver your community program and/or to lead program facilitator trainings is crucial to reaching the intended target audience in your community. The effectiveness of EBIs is largely based on the faithful delivery of the content in the EBI program manual as intended by the developers. Keep in mind that at the organizational/agency level, program fidelity refers to how closely staff and others (i.e., program facilitators, trainers, and evaluators) follow the program that the developers provide. This includes consistency of delivery as intended as well as program timing and costs. Therefore, the qualities and qualifications of program facilitators, those recruiting facilitators (many times this is done by the program coordinator) and of those training facilitators will impact program effectiveness and outcomes at every level. In addition, facilitators who are committed to the tenets of self-management and understand expectations clearly will be better prepared to adopt quality program facilitator behaviors and use those behaviors to enhance program performance in implementation and maintenance. Policies and protocols for identifying qualified personnel follow and include expected standards and strategies to employ.

Remaining *active* as described in the following pages or receiving appropriate re-training is a key component of program quality and fidelity. Therefore, adhering to these standards will develop a more qualified pool of program facilitators and trainers and inevitably lead to a better quality EBI.

A word about program capacity, i.e., the potential or the size of the existing infrastructure to support the delivery of a program(s) – program facilitators are the most important component of program capacity and delivery at the local level. While having program trainers on site can be helpful to sustaining your program, program facilitators are the best measure of program capacity.

Having too few personnel available to lead workshops/programs will decrease your ability to serve your target population, but having too many will mean decreased opportunities for facilitators to improve their skills and may lead to decreased program quality, fidelity and/or outcomes. Your site should strive to have enough facilitators to meet your capacity needs while keeping them active enough to ensure their skills are maintained and improved.

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Program Coordinators

The Program Coordinator role in program quality and fidelity is also crucial as the Program Coordinator is charged with recruiting, screening, and registering eligible trainees for facilitator and/or program trainer training. Recruiting the best possible candidates to deliver programs is only one of the varied responsibilities of many coordinators. Other responsibilities may include managing program and training logistics, developing host sites for programs, managing marketing and recruitment of program participants, collecting data at multiple levels and regularly reviewing it to ensure it meets quality performance standards, ensuring compliance with all applicable laws and regulations, including those governing privacy and data security – all key activities for your program.

Because this role is so crucial to quality programming, we ask that **Program Coordinators**:

- **Have dedicated time (20% or more) to work with the EBI (e.g., coordinate workshop/program offerings, recruit participants, facilitators, and implementation site partners, provide logistical support, conduct fidelity monitoring activities, etc.).**
- **Have experience or aptitude with program management/administration.**
- **Are familiar with program standards.**
    - **Have observed or are trained as a program facilitator or trainer in the EBI of interest.**
- **Are familiar with and actively endeavor to meet "Partner Indicators" of the *QTAC Continuous Quality Improvement Plan* (QTAC, 2014).**
- **Are familiar with NYS QTAC Partner Portal and actively use it to track delivery, personnel records and workshops.**
- **Manage all reporting/tracking as outlined in the *QTAC Partnership MOU/exhibit(s)*.**

Program Coordinators also serve as facilitators or trainers in many cases and therefore must also meet the qualifications of these roles (please see next section for more information).

In addition to the above standards, Program Coordinators should adhere to the following program-specific requirements:

S-SMP Specific Requirements
Program Coordinators
are familiar with:
• *Maintaining Program Fidelity: A Guide to Strategies for Improving Program Quality in the Chronic Disease Self-Management Program* (CEACW, Albany, NY, 2013).
• *Stanford Self-Management Programs: Program Fidelity Manual* (SPERC, 2012).
• *Stanford Self-Management Programs: Implementation Manual* (SPERC, 2008).
• Stanford License, maintains a copy, and ensures that a copy is placed in all Leader Manuals.

NYS DPP Specific Requirements
Program Coordinators
are familiar with:
• The data collection and submittal requirements and program implementation standards stated in the *Diabetes Prevention Recognition Program Standards and Operating Procedures* published by the Centers for Disease Control and Prevention (CDC) (September 2, 2011), and any forthcoming updates to this document.

ALED Specific Requirements
Program Coordinators
are familiar with:
• ALED Facilitator Job Description (QTAC, 2013)
• ALED FAQs (QTAC, 2013)

WWE-SD Specific Requirements
Program Coordinators
are familiar with:
• WWE Self-Directed FAQs (QTAC, 2013)

Program Facilitator Qualifications, Screening, and Training

Facilitators are the key to good programming. Facilitators are responsible for delivery of EBIs consistent with the intent of the developers (fidelity) and are the front line of program quality as they work directly with our target populations. Recruiting and training the right people to lead workshop/programs represents your first opportunity to both ensure program fidelity and quality and make good use of resources committed to these efforts.

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PROGRAM FACILITATOR QUALIFICATIONS

Facilitator qualifications and expectations are consistent across programs in the following ways:

- Not afraid to speak in front of groups
- Willing to be screened prior to being accepted into training and willing to sign the necessary application/agreements
- Willing to complete all required training activities
- Willing to facilitate required number of workshops/programs each year (see program-specific tables to follow)
- Willing to participate in mentoring and/or monitoring activities as needed
- Willing to collect data from participants as needed and in keeping with established policies and procedures
- Willing to provide feedback to Partner and QTAC
- Has transportation to workshop/program site
- Clear about expectations and has been provided with program information

S-SMP Specific Requirements
Workshop Leader Qualifications
• From the same communities that your program is serving and willing to facilitate workshops there.
• Able to read, write and speak the language of the programs you are offering and literate at about the 10th grade level in the language of the program.
• Willing to facilitate workshops in the evening or on weekends if requested by your target population.
• Able to attend all 4 full days of training and complete two practice teaching assignments.
• Willing to facilitate at least **two** community workshops in 12 months to remain active. (This is a QTAC standard; SPERC requires one workshop/year.) See SPERC's Leader and Trainer Certification Guidelines.
• Willing to facilitate first workshop within six months of training (SPERC standard); *QTAC recommends Leaders makes this commitment prior to being trained since Leaders are the most successful when they lead workshops shortly after training.*
• Willing and available to attend an update/booster session if they do not facilitate at least one workshop within 6 months of completing training.
• Agrees to be re-trained before delivering another workshop or return program materials to Partner if he/she becomes **inactive** (has not facilitated a full 6-week workshop series in more than 12 months). Leader's skills will be re-assessed to determine an appropriate level of retraining and remediation, which may include skills workshops, mentorship and/or participation in a full 4-day Leader Training. Program Coordinator should follow up with the *Program Facilitator Exit Interview Form*.
• Able to self-evaluate their performance and evaluate the performance of co-leaders.
• Willing and able to participate in local program's quality and fidelity practices.

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• Will only deliver workshops for organizations holding a **current Stanford program license** or for a QTAC Partner working under the QTAC's Stanford multi-program license.
• Will only **co-facilitate** workshops in the S-SMP in which he/she is currently trained and active in, and always with another currently active, trained Leader or Master Trainer.
• Agrees to confidentially collect **QTAC-required data** from workshop participants and deliver this data to QTAC Partner Program Coordinator within one week of workshop series conclusion.
• Agrees to keep up-to-date with any S-SMP program revisions, i.e., by January 2014, CDSMP Leaders must be trained in the 2012 version of the CDSMP and only facilitate this revised program in CDSMP community workshops.
NOTE TO PROGRAM COORDINATORS: At least one-fourth of Leaders trained should be male.

NYS DPP Specific Requirements
Lifestyle Coach Qualifications
• Able to attend the entire 2-day training and complete all training activities.
• All Lifestyle Coaches (LSC) must deliver a minimum of **<u>one</u>** 16-week NYS DPP workshop, followed by 6-8 post core sessions, **in the 24 months following LSC training**. In each consecutive year, to maintain certification as a QTAC Lifestyle Coach, be actively engaged in the delivery of at least **<u>one</u>** workshop. QTAC requires LSC to stay actively engaged in facilitating the NYS DPP. This means they are either facilitating or co-facilitating workshops and/or sessions of workshops each year.
• Will commit to starting initial workshop within three months of LSC training.
• Able to commit to the required time for workshop preparation and implementation, including 6-8 post core sessions. ○ Deliver **core phase**: 16 one-hour, in-person, group-based sessions over a period lasting at least 16 weeks and not more than 26 weeks. ○ Deliver **post-core phase** offered to all participants: 6-8 one-hour, in-person, group-based sessions occurring once a month for the remaining year of the program. ○ **Class preparation** (i.e., reviewing participants' food and activity trackers, lesson plan, content for class, and making a reminder call to participants). ○ Providing **time** to participants both **before and after sessions** to answer questions and follow up on any questions not addressed during class time. ○ **Following up** with participants outside of class if they are unable to attend (offering a makeup session opportunity).
• Capable and willing to record session data for each participant (attendance, body weight, total weekly minutes of physical activity, etc.) and weekly submit to Program Coordinator or other designated personnel for entry into NYS QTAC Partner Portal.
• Attend a minimum of **<u>one</u>** quarterly conference call/webinar arranged by QTAC **<u>per year</u>** to remain certified as a QTAC LSC.

ALED Specific Requirements
Workshop Facilitator Qualifications
• Have read and agree with the *ALED Facilitator Job Description* (QTAC, 2013).
• Willing to attend a minimum of one annual update meeting.
• Willing to facilitate workshops in the evening or on weekends if requested by your target population.
• Able to attend all components of the training and facilitate the program at the minimum standard level or above.
• Willing to facilitate at least **one** community workshop in 12 months to remain active.
• Will commit to facilitate first workshop within six months of training.

Screening Facilitator Trainees

By committing extra time at the beginning of the recruitment process, you may find that you save time and avoid challenging situations during training or in community programs. Training is one of the highest cost centers/expenses to program delivery, so you may save resources by engaging in recruitment processes. One process is screening potential trainees and is the most effective way to ensure a competent workforce.

All facilitators of programs should be screened prior to training and should complete an application that explains the terms and conditions of a facilitator. (QTAC has developed an application for QTAC Partner use. Please download the facilitator *Application, Job Description,* and *Screening Protocol*, specific to each EBI, from the QTAC File Cabinet: https://www.ceacw.org/qtac/q-files. If you are having difficulty in recruiting facilitators, you can find additional information about recruitment in this same online File Cabinet.

Many of the qualifications we look for in trainees are discovered through a screening process. Screening may be done over the phone, in person or both and should be conducted by Program Coordinators, Program Trainers or other trained personnel.

Preparing for Facilitator Training

Although recruiting and screening potential program trainers or facilitators is the most important step to a successful training, there are other logistical issues that need to be managed according to QTAC standards to ensure a quality training that is faithful to evidence-based programming. Before training:

- Contact the NYS QTAC to inform them of the training and add to the Partner Portal calendar.

- Become familiar with the *QTAC Continuous Quality Improvement (CQI) Plan*, the *QTAC Partnership MOU/Program Exhibit* responsibilities, documents in the program's Training folder of the online QTAC File Cabinet, and *Developing a High Quality Workforce to Deliver EBIs for Health*.
- Recruit and screen potential trainees and provide them with information about the program, your expectations, program standards, policies, etc. Trainees should be provided with a QTAC facilitator (Coach, Leader, etc.) *Job Description* and complete a QTAC facilitator (Coach, Leader, etc.) *Application* prior to training (these may be found in the program's Training folder of the online QTAC File Cabinet).
- Register the minimum number of required trainees.
    - If you are sending trainees to a training conducted by another Partner – ensure that you send the minimum number of trainees needed to establish the program in your catchment area.
- Maintain close and timely communications with those involved in the coordination of the training.
- Ensure that you have workshops/programs ready for your new trainees to facilitate and provide them with an opportunity to sign-up for workshop/program facilitation before or at training.

S-SMP Specific Requirements
Hosting a Leader Training
• Contact the QTAC to inform them of the training and add to the Partner Portal Calendar. You will also have the option of publicly listing the upcoming training on the online NYS QTAC Calendar (https://www.ceacw.org/calendar).
• Plan your training for the full amount of time required – Identify and secure Master Trainers that are active and certified in that specific S-SMP. If you are unsure as to how to obtain appropriately credentialed Master Trainers, please contact the QTAC.
• Follow QTAC *Screening Protocol* (located in QTAC File Cabinet) to screen each trainee. Ensure each trainee has completed an ***S-SMP Leader Application*** prior to training, review it carefully, sign, and file in local program files.
• Input trainee information into the "Delivery Personnel" portion of the Partner Portal.
• Have a copy of the valid Stanford license (a copy will need to be placed in the front of each Leader's Manual in the section indicated) for each Leader Trainee.
• Print a ***Training Roster*** (download this form from Partner Portal or QTAC File Cabinet) and make sure each trainee daily initials it **during the training. The roster and leader evaluations (located in the Master Trainer Manual) MUST be mailed back to the QTAC within one week after the training.**
Please review documents in S-SMP Training Folder of QTAC File Cabinet AND *Maintaining Program Fidelity: A Guide to Strategies for Improving Program Quality in the Chronic Disease Self-Management Program* (CEACW, Albany, NY, 2013) in the S-SMP Fidelity Folder.

During Facilitator Training

At the time training is conducted there are many other opportunities to ensure program quality delivery and fidelity. Many of the fidelity activities conducted during training are embedded in the training process and will be managed by the trainers. However, if you are a Program Coordinator who is not a trainer, your program will benefit from your presence at facilitator trainings as a support to trainees and trainers.

EBI TRAINERS

In some cases, a facilitator of a specific EBI will become a trainer in that program. An understanding of the roles/responsibilities and qualities of trainers is necessary for Partners to identify potential trainers to attend training for their organization. Minimum requirements to be trained as a trainer are:

- Willing and available to be screened either by phone, in-person or both and, through this process, is clear about expectations and commitments.
- Available and willing to attend complete day(s) of training and complete all training assignments.
- Willing to keep apprised of and abide by any certification requirements.
- Able and willing to leave their jobs/schedules to conduct trainings – possibly traveling to other locations to do so. Willing to facilitate trainings during the evenings or on weekends if this meets the needs of your target population.
- Capable and willing to return the necessary training paperwork to the QTAC.
- Willing to join trainer listserv (if applicable).
- Willing to attend an annual Trainer Quality Assurance update meeting hosted by the QTAC online and complete any QTAC-administered surveys for Trainers.

If you are interested in getting someone from your organization trained as a program trainer, please contact the QTAC for more information.

S-SMP Specific Requirements
Master Trainer Standards
• Since S-SMP workshops and Leader trainings require a valid Stanford License, all Master Trainers must deliver S-SMP workshops and trainings under a Stanford-licensed organization.
• Master Trainers must keep up-to-date with any S-SMP program revisions. For example, by January 2014, CDSMP Master Trainers must be trained in the 2012 version of the CDSMP and only facilitate this revised program in CDSMP workshops and CDSMP Leader trainings.
• Must facilitate two community workshops within 1 year (preferably 6 months) of their training, return SPERC Certification* form to Stanford, and conduct their first 4-day Leader training within 18 months of original training. (This standard is subject to change at the discretion of SPERC.) ***NOTE:** SPERC requires Master Trainers to complete a *Master Trainer Agreement and Certification* Form following the facilitation of two community workshops. This form is then returned to SPERC for their review and approval. SPERC will then sign and fill in the "Effective Date of Certification" and return it to the Master Trainer. **Only currently certified Master Trainers (who have received this form back from SPERC) are authorized to co-lead Leader Trainings. Master Trainers must forward a copy of this form, once signed by SPERC, to the QTAC.**
• Any Master Trainer whose certification lapses must participate in a full 4.5-day Master Training to become active again as a Master Trainer. If the Master Trainer is not seeking certification and instead would like to continue as a Leader – then Leader certification standards for activity and certification will apply.
For more information, please read SPERC's Master Trainer Certification Guidelines.

Quality Practices during Workshop/Program Delivery

After training, the second opportunity to affect program fidelity is during program delivery. If the program is not delivered as intended, then we need to ask whether or not we should continue providing the program at all. By monitoring the workshops/programs, we can determine how well fidelity is maintained and develop plans to address any problems.

EBIs are developed and tested to be effective when delivered in specific ways in community settings. Facilitator performance protocols (see next section: *Managing and Retaining Personnel*) are to be followed by Program Coordinators and other personnel. The EBIs have established identified non-negotiable core components for workshop delivery that are enhanced by policies of the *QTAC CQI Plan*. These include:

- Programs must be delivered according to the current program manual ONLY (please contact the QTAC for information about program curriculum updates). Adding or deleting material is not an approved activity. Proposed changes or adaptations must have prior approval from the program developers and are generally only granted for purposes of population-based, cultural and/or ethnic considerations.

- For the S-SMP, workshop group size must stay within guidelines (see program specifics in tables below). Workshop leaders do as much work, maybe even more, when the class size is below recommended levels. Less than the minimum number of participants will impact the group processing dynamic and sharing that make up the core of most programs. If less than the minimum number of participants registers for a workshop, we ask that a Partner complete the QTAC *Waiver for Reduction in Class Size Request* for submission to QTAC at least 2 weeks prior to the start of the workshop. This submission will alert the QTAC to the challenge that the Partner is experiencing and allow us to assist you as necessary. Immediate considerations include over recruiting for the workshop to accommodate for the natural attrition that occurs with multi-week community programs, and offering a Session 0 to provide potential participants with a glimpse of how the workshop is structured. If, after registering the approved minimum number of participants, a smaller group shows the first week, consider rescheduling for the following week. Session 0 or pre-workshop recruitment efforts can help you to determine if you will have enough participants to begin. (NOTE: These guidelines hold for most populated areas; rural communities should strive to achieve this level of participation; however, less populated areas need to consider the value of holding a workshop for a smaller group against the access community members have to health and self-management education opportunities locally).

- Program/Workshop **series or session** length should not be altered. At times, a workshop series may need to take a one week break for a holiday or bad weather, so we recommend that space for the workshop be reserved for an additional week or two. Shortening the number of weeks and/or the length of the workshop sessions will result in material not being covered or decreasing participant sharing time. Changing the workshop session length or shortening the number of sessions will reduce participants' ability to build self-efficacy skills.

Collecting Information about Facilitator Performance

There are multiple strategies to obtain information about a facilitator's performance. QTAC protocols triangulate data through three primary sources of information collected during workshops:

1. Information obtained from facilitators directly by QTAC staff or designated staff and documented on a QTAC *Program Fidelity Check-in Call Form*. This check-in will be done either by phone or email. The Program Coordinators **must** notify **all** facilitators that they will receive a Program Fidelity Check-in Call(s) from the QTAC between the 1st and 2nd week and the 3rd and 4th week of their program workshop, and it is imperative that they respond. Programs of longer duration, such as the NYS DPP, will have additional Check-in Calls performed by the QTAC. If the QTAC feels immediate corrective action is needed in order to preserve the quality of the program and the group cohesiveness, the Program Coordinator or designated personnel will be contacted. Check-in Calls are a flexible, low-cost way to provide additional resources and/or support to facilitators, as well as identify challenges so they may be corrected in real time. To further support program fidelity, QTAC encourages Program Coordinators to use the Program Fidelity Check-in Call Form to make additional Check-in Calls to their facilitators during the course of a workshop series. **Please see program specific details in tables to follow.**
2. *Participant Satisfaction Surveys* (collected at the close of the workshop) and follow-up phone calls to participants when indicated and requested.
3. Direct observation of facilitators during their delivery of the program (conducted by trained local personnel) when requested or deemed necessary.

The above methods provide multiple perspectives on the quality and fidelity of the workshop. Program coordinators, trainers or others charged with the quality of your program will utilize this information to provide feedback to facilitators about their performance and to instruct them in how they can improve. The QTAC offers a training on workshop fidelity observations that includes a module on how to give feedback and remediate facilitators if necessary.

The QTAC Policy regarding facilitator performance is: If ever you are in doubt about a facilitator's ability to provide quality programming that is faithful to the evidence-base of the program, *DO NOT ALLOW THE PERSON TO CONTINUE OFFERING THE PROGRAM!*

If you are unsure about a facilitator or how to proceed, please contact us at QTAC@albany.edu or by calling 877-496-2780.

Remember that knowledge alone does not maintain fidelity nor improve your program; acting on what you learn is the only thing that can do that!

S-SMP Specific Requirements
Workshop Delivery
• Workshops take place over six weeks (7 weeks for PSMP) and run for 2.5 consecutive hours including the scheduled break.
• Workshop group size guideline: between 10 and 16 participants. The average workshop size is 12 to 14. **If less than 10 participants register for a workshop, the Partner will complete a QTAC *Waiver for Reduction in Class Size Request* for submission to QTAC at least 2 weeks prior to the beginning of workshop** (see above for more information).
• **Workshops must be facilitated by two trained and active Leaders** (Active Master Trainers can also co-lead workshops).
• Leaders are present at all sessions (unless scheduled absence and replacement Leader is found). Leaders arrive on time and stay for the duration of the workshop. Leaders are attentive to the needs of their co-Leader and participants throughout the entire session.
• Weekly attendance records are kept (*Attendance Logs* are to be printed from the QTAC Partner Portal) and results entered into the Partner Portal within 2 weeks of the final session of the workshop series.
• Leaders (or Program Coordinators) must collect necessary *Participant Information Surveys, Release Forms,* and *Participant Satisfaction Surveys* in accordance with QTAC protocols (see Partner Portal, Workshop Data Packet downloads) and return data to the local Program Coordinator or QTAC as indicated and within 2 weeks of the final workshop session in the series.
• Program Fidelity **Check-in Call** will be conducted by QTAC **with each facilitator after the 1st and 3rd session of every workshop**. The *Check-in Call* forms will be reviewed and kept by QTAC. The Program Coordinators are encouraged to use these forms to make additional Check-in Calls during the workshop series.

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NYS DPP Specific Requirements
Workshop Delivery
• The *National Diabetes Prevention Program Curriculum* developed for Centers for Disease Control and Prevention (CDC) by the Diabetes Training and Technical Assistance Center should be used. This curriculum can be found at www.cdc.gov/diabetes/prevention/recognition. If QTAC Partner chooses to use a different curriculum, it must send the curriculum to CDC Diabetes Prevention Recognition Program (CDC DPRP) so it can be evaluated to ensure that it meets all the key elements of the NDPP research trial lifestyle curriculum.
• Programs take place over a one-year period. A program is composed of 16 weeks of core sessions, along with 6-8 post-core sessions.
• **Workshops must be facilitated by one trained and active Lifestyle Coach.**
• Program group size guideline: between 10 and 18 participants.
• Weekly attendance records are kept (*Attendance Logs,* including weekly session data, are to be printed from the QTAC Partner Portal) and results entered into the Partner Portal **weekly**.
• Lifestyle Coach (LSC) or Program Coordinator must collect necessary *Participant Eligibility Forms, Participant Information Surveys, Release Forms,* and *Participant Satisfaction Surveys* in accordance with QTAC protocols (see Partner Portal, Workshop Data Packet downloads) and return data to the QTAC.
• Program Fidelity **Check-in Calls** will be conducted by QTAC **with each facilitator after the 1st and 3rd session of every workshop as well as between weeks 6th and 9th and weeks 12th and 16th.** The *Check-in Call* forms will be reviewed and kept by QTAC. The Program Coordinators are encouraged to use these forms to make additional Check-in Calls during the workshop series.
• QTAC Partner must submit evaluation data to CDC DPRP every six months from the date of the first lifestyle intervention core group session offered after the application acceptance date (first session).

ALED Specific Requirements
Workshop Delivery
• Workshops take place over 12 weeks and run for 1 hour.
• Workshop group size guideline: between 10-20 participants.
• **Workshops must be facilitated by one trained and active Facilitator.**
• Weekly attendance records are kept (*Attendance Logs* are to be printed from the QTAC Partner Portal) and results entered into the Partner Portal within 2 weeks of the final session of the workshop series.
• Program Facilitators (or Program Coordinators) must collect necessary *Participant Information Surveys, Release Forms,* and *Participant Satisfaction Surveys* in accordance with QTAC protocols (see Partner Portal, Workshop Data Packet downloads) and return data to the local Program Coordinator or QTAC as indicated and within 2 weeks of the final workshop session in the series.
• Program Fidelity **Check-in Call** will be conducted by QTAC **with each facilitator after the 1st and 3rd session of every workshop**. The *Check-in Call* forms will be reviewed and kept by QTAC. The Program Coordinators are encouraged to use these forms to make additional Check-in Calls during the workshop series.

Managing and Retaining Personnel

One of the best ways to retain facilitators is to be clear and realistic about your expectations. Using the QTAC program-specific facilitator *Application* (e.g., *S-SMP Leader Application*) and following QTAC screening protocols will assist you in this regard. Your expectations for facilitators should also include a review of the processes used to assess their performance in training and during workshops/programs. Understanding what is expected will help them focus their energy on things known to enhance program quality and fidelity; this strategy is also effective with implementation site partners.

The QTAC utilizes a transparent process in working with our facilitators, program trainers and partners. By clearly stating expectations and performance targets, we enhance this process, our program quality and it creates an environment of shared learning. The following are a series of protocols, practices and policies related to the personnel working in EBIs throughout the State of New York. These policies reflect many years of working with facilitators and trainers in New York State as well as nationally and in concert with EBI developers and funders.

Facilitator Feedback

QTAC protocols include the collection of facilitator feedback at every workshop or program series by means of the QTAC Program Fidelity Check-in Call. This information is used to enhance efforts in supporting facilitators at the local level. For further information, please read the subheading, **Collecting Information about Facilitator Performance**.

Mentoring New Program Facilitators

All new facilitators should be paired with experienced facilitators and/or program trainers wherever possible. If this is not possible, Program Coordinators should provide additional support to those conducting their first program and/or identify experienced facilitators or trainers who will provide this support through telephone, email or in-person contact.

Mentoring is part of ongoing support at the local level and is accomplished through recognition events, networking meetings, annual or semi-annual refresher training and/or support and debriefing meetings. Local program personnel should view these activities as a part of overall program quality and fidelity planning. Please contact QTAC with any questions.

Facilitator Performance

Performance is clearly outlined in each program's manual and this document.

In general, facilitators must:

- Adhere to the activities and processes as outlined in the program's manual(s)
- Maintain a non-judgmental attitude and behaviors toward participants and/or co-facilitators
- Avoid any perceived hostility directed at participants and/or co- facilitators
- Avoid the sale of products/services to workshop participants and/or co- facilitators
- Maintain confidentiality of the group

Those who demonstrate any departure from these qualities are at risk of immediate dismissal from the EBI. Local program staff is empowered to make these decisions as necessary and report findings to the QTAC. Facilitator performance must be documented on the appropriate forms. If remediation rather than dismissal occurs, local program staff should meet with the facilitator and complete a *Facilitator Remediation Form*. Facilitator should be given one copy and one copy should be filed with the Program Coordinator. A reevaluation follow-up meeting should be scheduled.

If dismissal occurs, facilitator can appeal dismissal through the QTAC, using the *Facilitator Dismissal and Appeal Form*. The appeal process includes a written statement and interview with the facilitator in question, a review of documentation and interview with the local program staff and fidelity monitors and a review of *Participant Satisfaction Surveys* and *Program Fidelity Check-in Call* documentation forms for the workshop/program and/or facilitator in question. A review team at the QTAC will be formed to consider the appeal. The review team will be made up of personnel from the QTAC, one program trainer, two facilitators and one Program Coordinator. The decision of the QTAC is final.

Counseling Facilitators out of the Role

Counseling someone out of a facilitator role can be a difficult and uncomfortable process for everyone involved.

First, you need to know if there is a problem. Unfortunately, this does not always happen in a timely manner, which is why we encourage frequent communication with facilitators during a program series and why we collect so much data at the community program level.

Second, counseling out is often a time consuming process because you will personally need to investigate what is happening. You cannot take what others are stating as fact. An investigation will allow you to determine the facts and avoid statements that cannot be substantiated.

Third, in programs that require workshops to be taught in facilitator pairs (co-led models), personality differences between the co-facilitators may affect program effectiveness. Please read next subheading, Other Facilitator Problems, for more information.

Fourth, the person being counseled out may have hurt feelings and be disappointed because they will not be able to facilitate the program.

Regardless of the situation, counseling someone out is usually not easy to do. Here are the guidelines developed by the QTAC to make this uncomfortable process easier:

1. Gather the facts by observing the person firsthand.
2. Discuss the situation with the person swiftly and before they are scheduled to teach their next workshop/program session.
3. Always be respectful with the person and give him/her specific reasons why you are concerned about their performance. Offer feedback based on the manual and the responsibilities of a facilitator. You may want to include another trainer or qualified person in the conversation.
4. Tell the facilitator what they did well, if applicable, and tell them what needs to be improved and why the change(s) is necessary. Only do this if you are comfortable with giving them a plan for improvement and they are willing to accept it. Explain what will happen if they do not improve and set up a timetable for action along with benchmarks.
5. If remediation or reconditioning is not an option, thank the person for their service, and be clear about the reasons for their dismissal. ONLY if appropriate, offer them different opportunities to help advance the programs other than as a program facilitator. They may excel at something else that is program-related. It is vital that when you feel the need to counsel someone out of the program that you are not swayed to do otherwise; this will only delay the inevitable and cause more problems in the end.

Regardless, of whether you are counseling out someone during or after training, please remember that the QTAC is available to support and advise you during these times.

Other Facilitator Problems

In programs that require workshops to be taught in facilitator pairs (co-led models), personality conflicts and communication difficulties at times arise in facilitator pairs. The local Program Coordinator's (or other designated personnel) role is to assist in the resolution of these conflicts. Each situation is unique and there are two sides to every story so begin your investigation by interviewing each facilitator individually to enhance your understanding of the situation.

For communication difficulties, the local personnel should engage facilitators to resolve difficulties by determining what additional supports are needed and provide guidance to enhance further communications.

For personality conflicts or style differences between facilitators: first, determine whether there are communication issues that are causing the conflict and resolve accordingly; second, determine whether or not these facilitators will be able to complete the current workshop together by explaining the impact the conflict may be having on program participants. If the facilitators do not believe this is possible, then find a replacement facilitator immediately. Do not leave personality conflicts and style differences occurring between facilitators to the management of the facilitators, as these issues are likely to have a negative impact on your participants if they are unresolved.

If facilitators believe they will be able to continue, meet with the pair to assist them in developing an action plan for the remainder of the workshop that clearly defines the role of each and outlines how workshop activities and tasks will be divided. Continue to support the facilitators throughout the remainder of the workshop either in person or by telephone. One or more fidelity observations may be needed to observe their ability to work together.

Ultimately, the two may resolve the conflict or style difference and be pleased to lead workshops together again in the future. If they do not wish to work together in the future, assign each of them to a different facilitator. If you determine that one or both are not meeting quality standards for program facilitators, then counsel out one or both (see guidance above for counseling facilitators out of the facilitator role).

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In conclusion, developing, maintaining, and nurturing a highly productive, quality workforce is not an easy undertaking; but it is well worth the effort. Your workforce represents your organization at the ground level where the program participants, both current and future, are found.

The QTAC is here to help with expert technical assistance and support for evidence-based interventions for health.

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