Building Sustainability Through Active Implementation Frameworks

NC Conference on Exceptional Children

Barbara Sims, Co-Director

National SISEP Center

FPG Child Development Center

University of North Carolina at Chapel Hill

Greensboro,NC
Nov. 2013

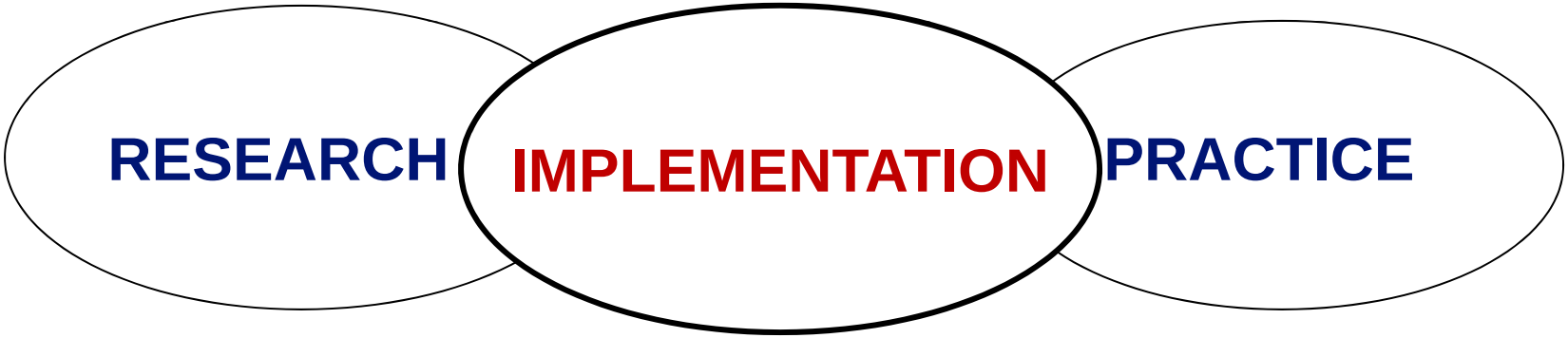
IDEAs that Work
U.S. Office of Special Education Programs

UNC
FPG CHILD DEVELOPMENT INSTITUTE

State Implementation & Scaling-up of Evidence-based Practices

Implementation Gap

Implementation is defined as ***a specified set of activities*** designed to put into practice an activity or program of **known dimensions.**



Why Focus on Implementation?

"Students cannot benefit from interventions they do not experience."

Formula for Success

WHAT:
Effective & Usable Practices and Programs

×

WHO & HOW:
Effective Implementation Methods

×

WHERE:
Enabling Contexts

=

WHY:
Educationally Significant Outcomes

Formula for Success

WHAT:
Effective & Usable Practices and Programs

×

WHO & HOW:
Effective Implementation Methods

×

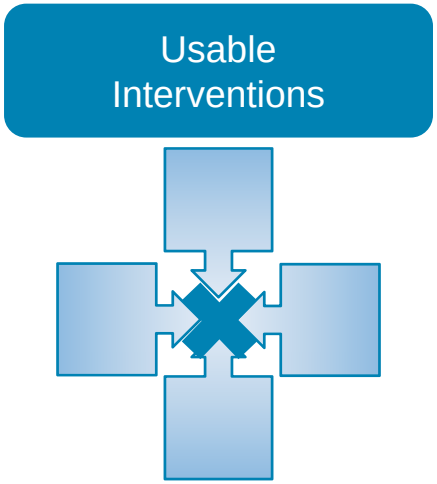
WHERE:
Enabling Contexts

=

WHY:
Educationally Significant Outcomes

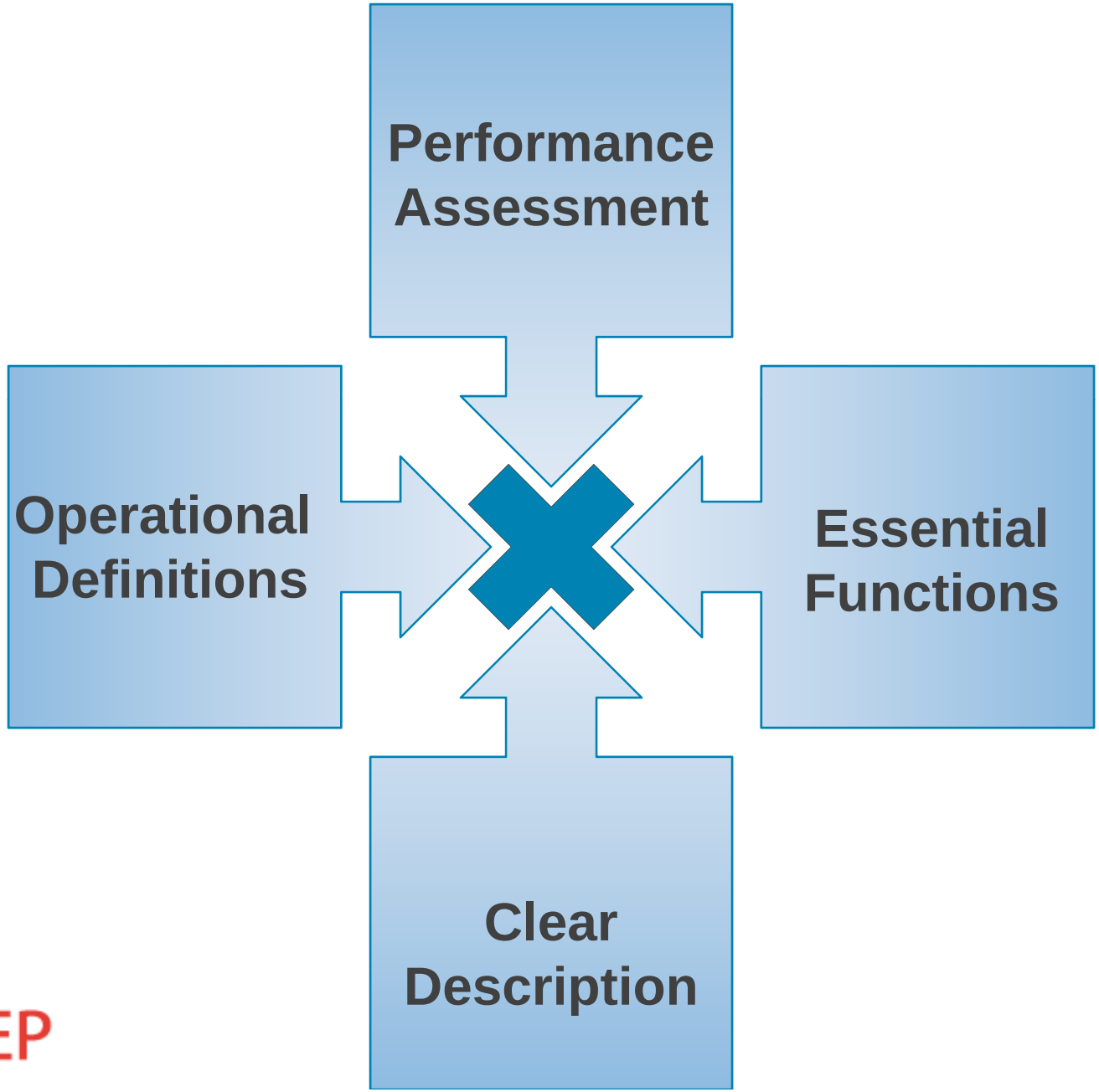
USABLE INTERVENTIONS

An intervention needs to be teachable, learnable, doable, and be readily assessed in practice.



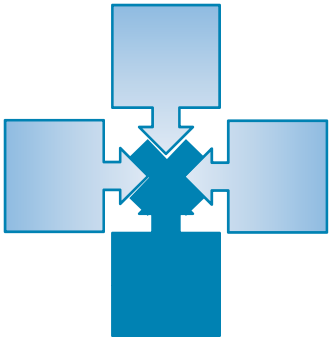
SISEP

Usable Interventions



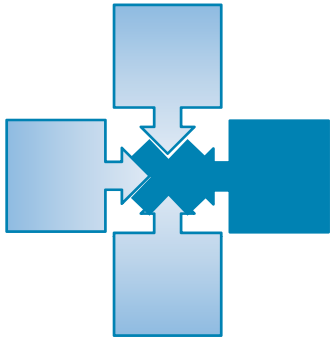
SISEP

Clear Description



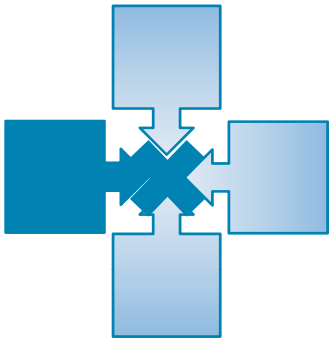
- Philosophy, Values and Principles
- Inclusion and Exclusion Criteria

Essential Functions



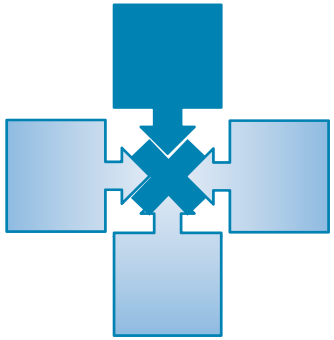
- Clear description of the features that must be present to say that a program exists in a given location
- Core components

Operational Definitions



- Describe each core component in terms that can be taught, learned, done in practice, and assessed in practice
- Practice Profiles

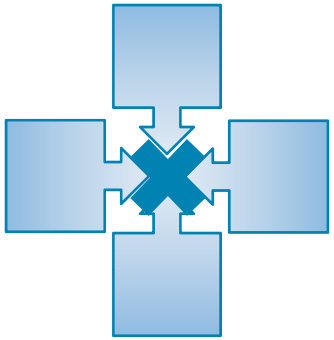
Performance Assessment



- Provides evidence that the program is being used as intended and is resulting in the desired outcomes
- Fidelity
- Practical enough to repeat time and time again

Usable Interventions

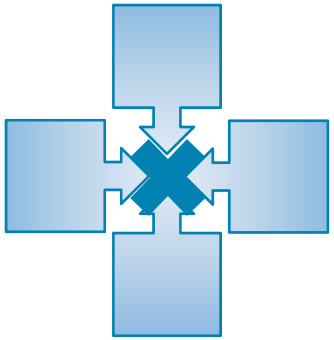
Implications for Sustainability and Scalability



- **We tend to over-estimate how well defined "it" is**
  - We find out when we start to Install "it"
- **Help Schools and Districts choose wisely based on:**
  - Needs of students
  - Best evidence
  - Fit and Resources Required
  - Readiness and resources for replication

Usable Interventions

Implications for Sustainability and Scalability



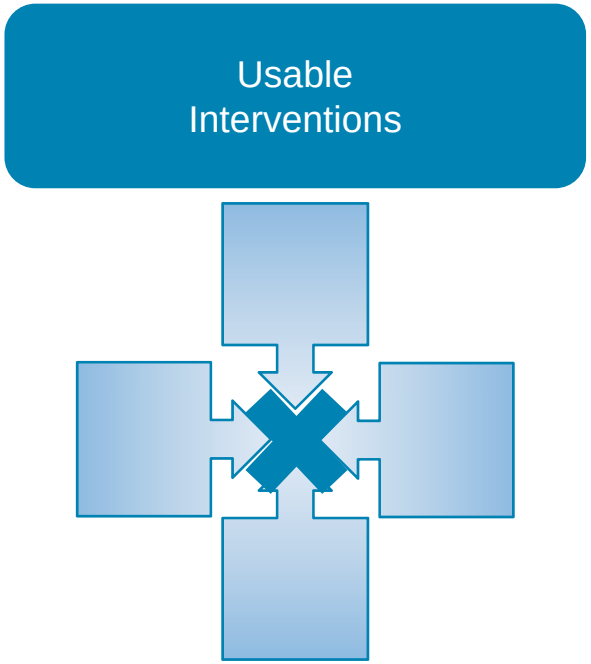
- **Help Schools and Districts "operationalize" the WHAT**
  - Practice Profiles
- **Help Schools and Districts "make space" for the new work**
  - Supportive policies and practices

Usable Interventions

Tools You Can Use

Hexagon Tool

Practice Profiles



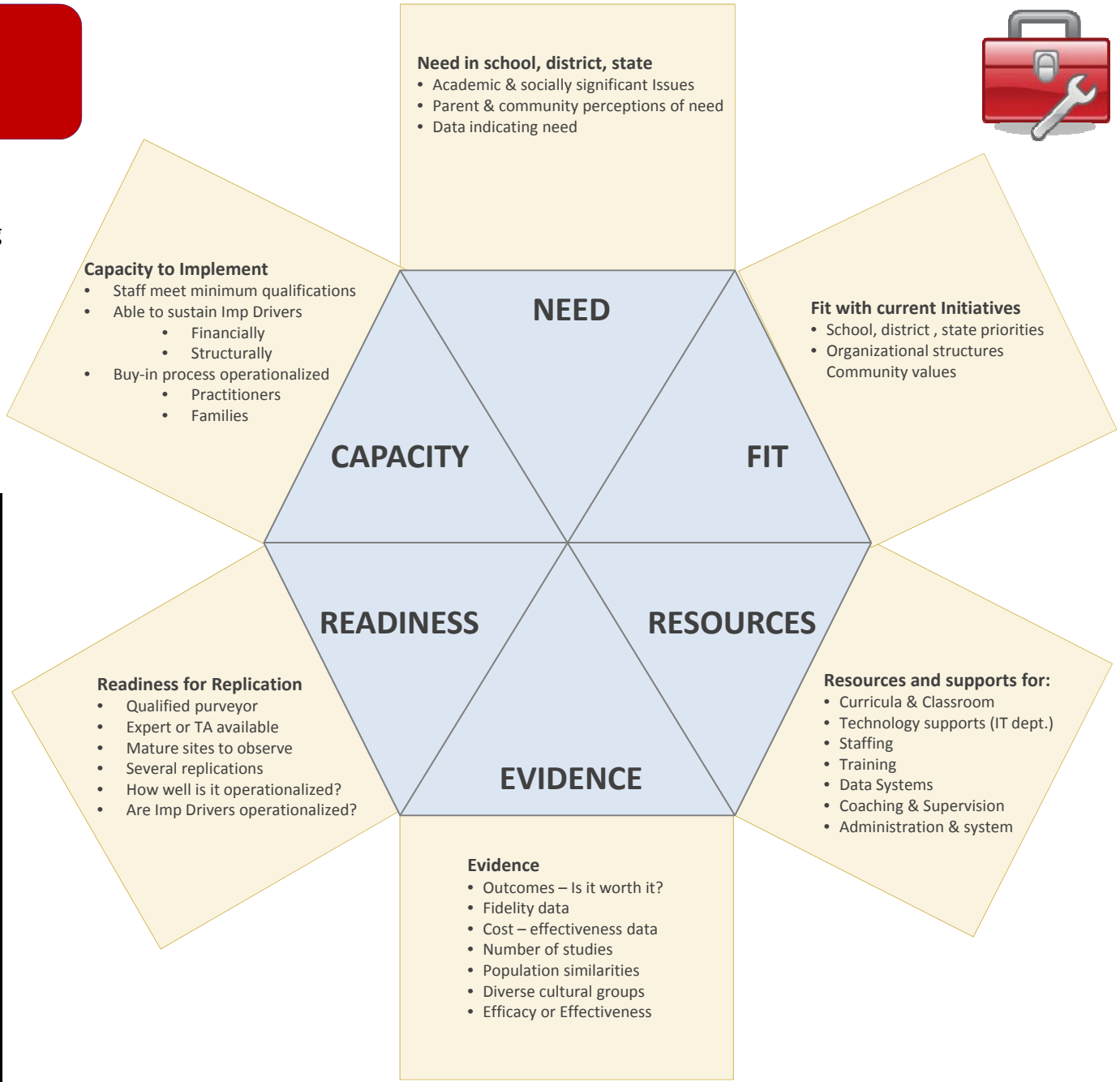
SISEP

The Hexagon
An EBP Exploration Tool

The "Hexagon" can be used as a planning tool to evaluate evidence-based programs and practices during the Exploration Stage of Implementation.

Download available at:
www.scalingup.org/tools-and-resources

EBP:			
5 Point Rating Scale: High = 5; Medium = 3; Low = 1. Midpoints can be used and scored as a 2 or 4.			
	High	**Med**	**Low**
Need			
Fit			
Resource Availability			
Evidence			
Readiness for Replication			
Capacity to Implement			
Total Score			



SISEP

© 2009 Karen Blase, Laurel Kiser, & Melissa Van Dyke
Adapted from work by Laurel J. Kiser, Michelle Zabel, Albert A. Zachik, and Joan Smith at the University of Maryland

Practice Profile Tool

State Implementation & Scaling-up of Evidence-based Practices

Clearly defined components and practices are a pre-requisite for sound implementation. This process will help you identify the core components or essential functions of your evidence based program.

Operationally define what the program would "look like" if you were to observe the instructional or behavioral practices being used as intended in the school or classroom. Identify each core component of the program, with some developmental variations of this core component, and finally identify any unacceptable variations of this component. Use a separate form for each core component.

Core Component	Contribution to the Outcome	Expected Use in Practice	Developmental Use in Practice	Unacceptable Use in Practice
Description of this component	Describe why this core component is important to achieving the outcome	Description of practitioner behavior	Description of practitioner behavior	Description of practitioner behavior

Try It Now!

Supporting
New Ways of Work

Usable Interventions

- Identify 3-4 core components of your program
- Discuss why these are "Core"

Formula for Success

WHAT:
Effective & Usable Practices and Programs

×

WHO & HOW:
Effective Implementation Methods

×

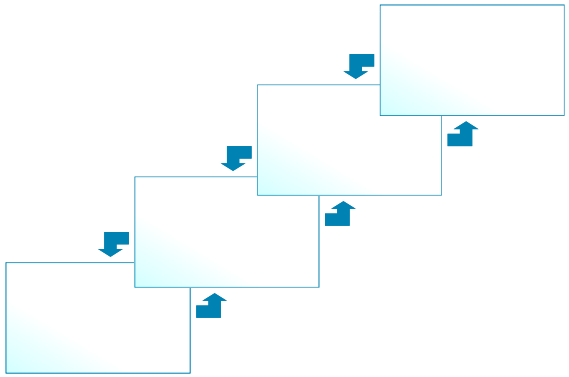
WHERE:
Enabling Contexts

=

WHY:
Educationally Significant Outcomes

IMPLEMENTATION TEAMS

Organized, expert assistance to develop and sustain an accountable and effective structure



SISEP

Implementation Teams

INTERVENTION	IMPLEMENTATION: Expert Impl. Team	IMPLEMENTATION: NO Impl. Team
Effective	80%, 3 Yrs	14%, 17 Yrs
	Effective use of Implementation Science & Practice	Letting it Happen Helping it Happen

Fixsen, Blase, Timbers, & Wolf, 2001

Saldana & Chamberlain, 2012

Balas & Boren, 2000

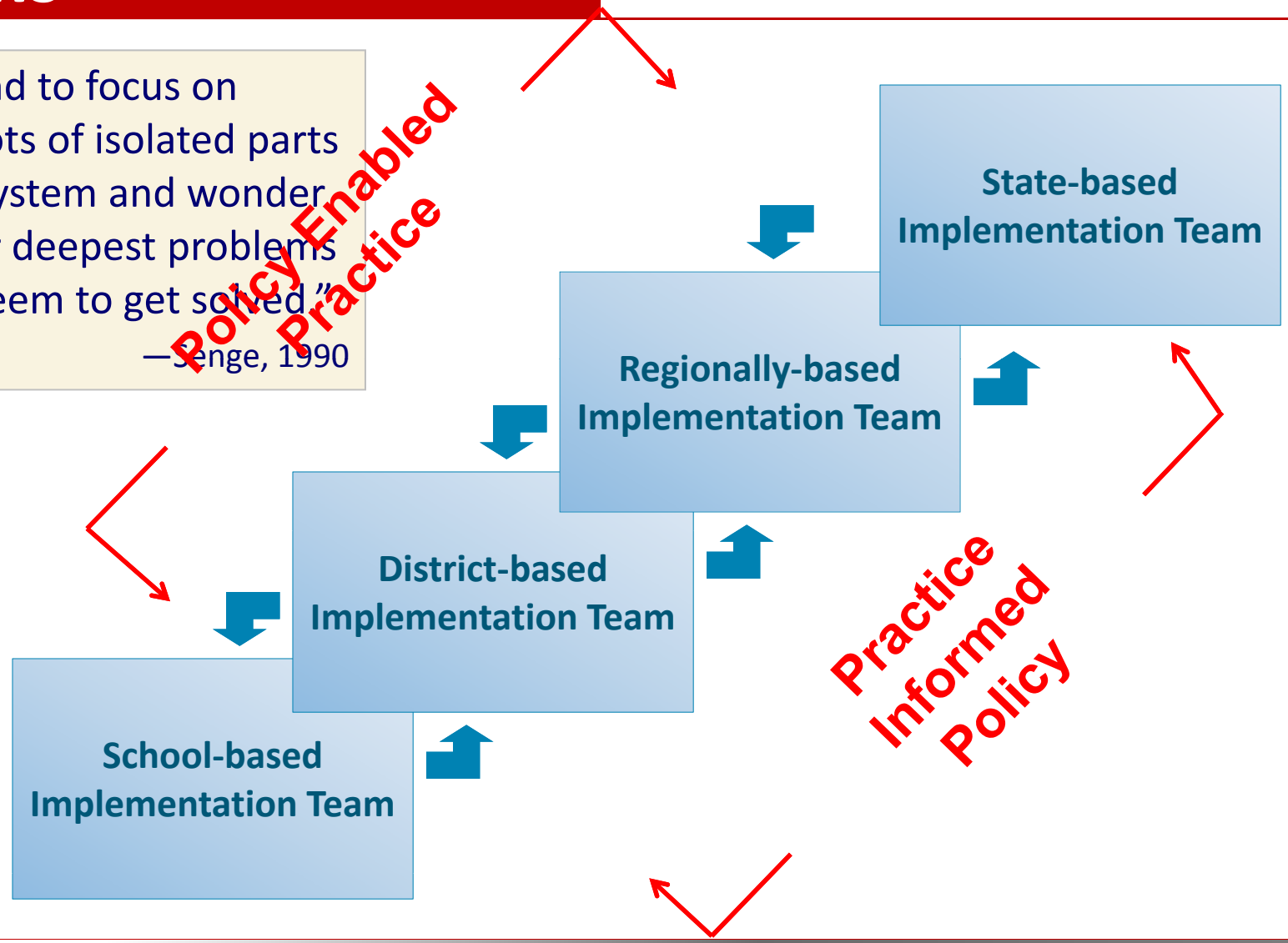
Green, 2008

Implementation Teams

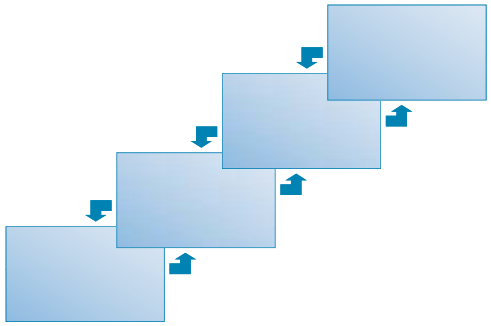
Linked Team Structures

"We tend to focus on snapshots of isolated parts of the system and wonder why our deepest problems never seem to get solved."

—Senge, 1990



Implications for Sustainability and Scalability



- **Teaming Structure**
  - Accountable
  - Implementation Science informed
  - Lasting – Key to Sustainability
  - Linked – Key to Scalability
- **Why**
  - Individual champions come and go
  - Structures host functions
  - Intentional use of data, improvement cycles

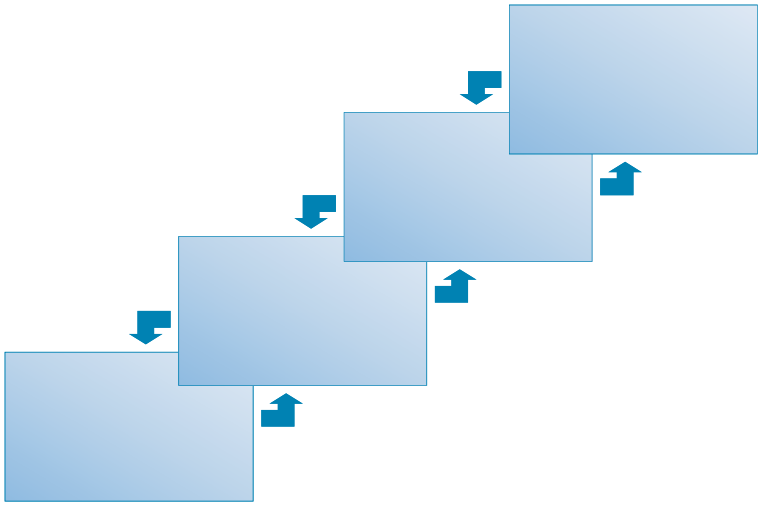
Implementation Teams

Tools You Can Use

Communication Protocol Worksheet

Terms of Reference

Implementation Team Checklist



SISEP

Implementation Team Checklist

State Implementation & Scaling-up of Evidence-based Practices

An Implementation Team provides the internal capacity within an organization to support systems change and effective implementation of a practice, policy or program.

This checklist should be completed quarterly by the Implementation Team to monitor the development and use of core implementation components.

School/District _____ Team Members _____

_____

Status: 0 = Not in Place, 1 = Partially in Place, 2 = Fully in Place

Implementation Team Structures	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Team members selected • One or more members who know the intervention/strategy, implementation, improvement processes, and systems change • Members represent various levels and perspectives of the system (e.g. overlapping knowledge, skills, and abilities related to management, training and coaching, evaluation)				
Team meeting process established • Meeting schedule in place • Meeting agendas used • Documentation of meeting minutes/decisions • Communication protocols for sharing of decisions • Terms of Reference developed and maintained				

SISEP

The role of the SISEP Center is to build the capacity of state education systems to implement and scale up effective education innovations statewide, so that every student can benefit from the intended outcomes.

State Implementation & Scaling-up of Evidence-based Practices

www.scalingup.org

FPG Child Development Institute
The University of North Carolina at Chapel Hill

Tools to Support the Development of a Coherent and Aligned System

February 2011

Contents:

I. Description of Terms of Reference

II. An Example: *Common Principles of Effective Practice Leadership Team: Terms of Reference*

III. Terms of Reference Template

IV. Linking Communication Protocol Worksheet

V. An Example: Linking Communication Protocol

I. Description of Terms of Reference

Creating a detailed Terms of Reference (TOR) is a critical part of any project. TOR is quite frequently used in business and any planning endeavor. Terms of Reference (TOR) are detailed in a document outlining the purpose of the project or group, how the group will be structured, and how the work will be done. It functions as an a) an internal memorandum of understanding for the group or project team b) links the group or project team to broader systems work (e.g. collaborative work, policy change, regulatory revisions).

TOR can facilitate the work of the project team or work group, because it establishes common ground and a common understanding of why a group has been formed **and** what is expected. It is a proactive way to ensure that there is agreement about important dimensions of both the work to be done and the processes for doing the work. Such agreement creation through the development of the TOR and in the absence of actual work or issues, helps the group raise difficult issues in the abstract and talk more openly about diverse opinions to reach consensus.

- If the document is actively used and referenced throughout the life of the project or the work of the team it can:

This tool was developed by the National Implementation Research Network (NIRN) and adapted for use by SISEP.

Communication Protocol Worksheet

State Implementation & Scaling-up of Evidence-based Practices

From: _____

To: _____

Rationale	
Issues to Communicate	
Responsible Individual(s)	
Schedule, Time Allotted	
Format	
Response Timeline	
Response Format	

Try It Now!

Supporting
New Ways of Work

Communication Cycles

- Identify 2 teams with which you are working
- Use the Communication Protocol Worksheet to discuss linking communication strategies

Formula for Success

WHAT:
Effective & Usable Practices and Programs

×

WHO & HOW:
Effective Implementation Methods

×

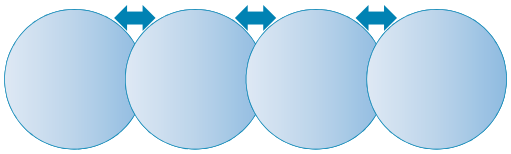
WHERE:
Enabling Contexts

=

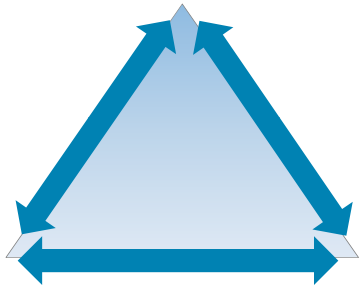
WHY:
Socially Significant Outcomes

Formula for Success

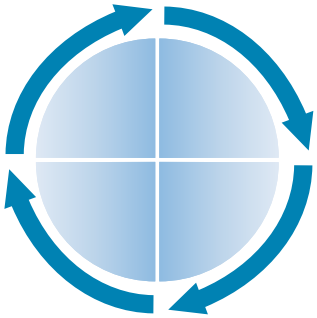
HOW:



- Teams engage in stage-based work



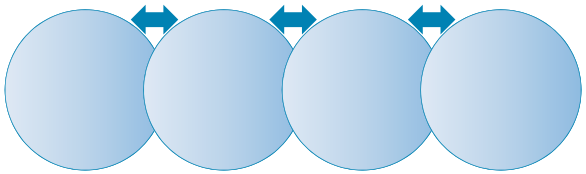
- Teams install and support infrastructure to change and sustain practices



- Teams get started, get better and manage change on purpose

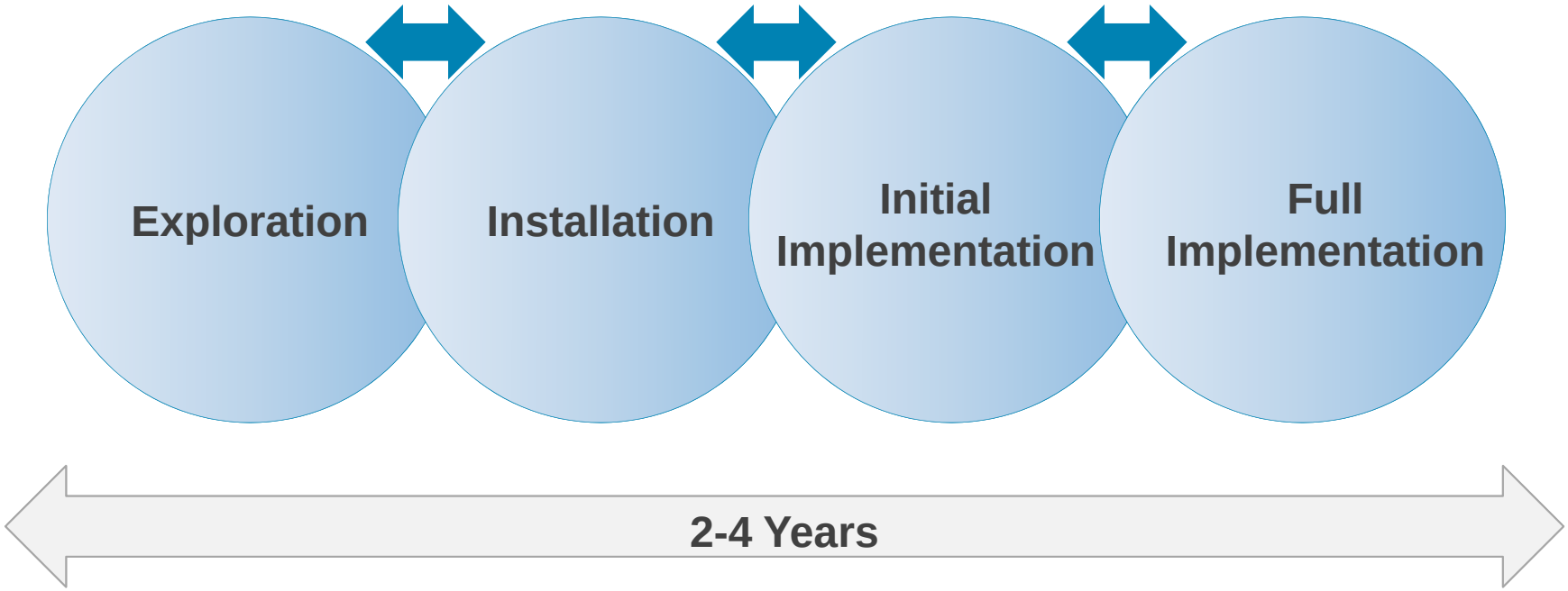
IMPLEMENTATION STAGES

Purposeful matching of critical implementation activities to the stage of the process

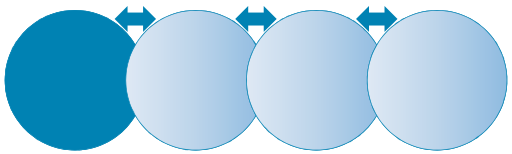


SISEP

IMPLEMENTATION STAGES

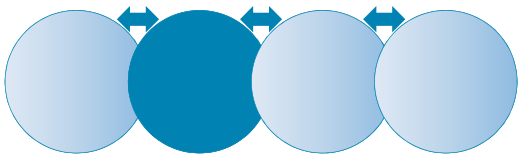


Exploration Stage



- Determine Need and Identify Options
- Assess "Fit" and Feasibility
- Structural and functional changes identified
- Promote "Buy in" for the innovation and for implementation supports
- Make recommendations (go/no go)

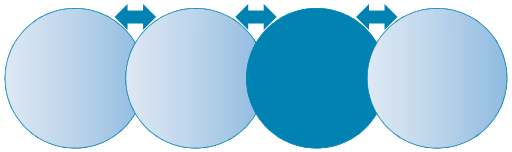
Installation Stage



- Structural and functional changes are made
- Selection protocols developed
- First practitioners selected
- Define and initiate training of first practitioners
- Develop coaching plans
- Evaluate readiness and sustainability of data systems

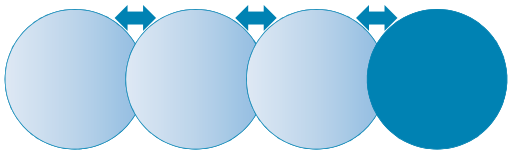
Initial Implementation

Implementation Stages



- **Work through the Awkwardness**
  - *New skills are fragile and uncomfortable*
  - *Implementation supports are new thinking/doing*
  - *Organization/system change is scary*
- **Provide training and coaching on the evidence-based practice, re-organization of school roles, functions and structures**
- **Make use of improvement cycles to resolve systems issues**

Full Implementation

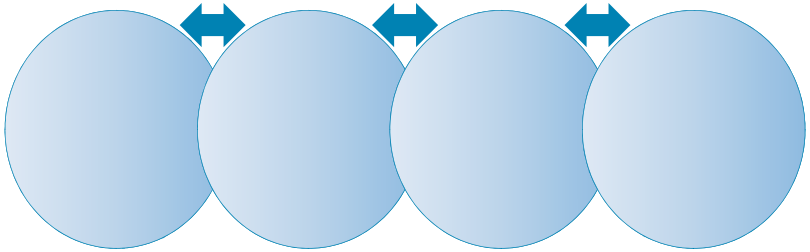


- Maintaining and improving skills and activities throughout the system
- Components integrated, fully functioning
- Policies regularly changed to support improved practices and outcomes
- Data systems are in use, reliable, and efficient
- Ready to be evaluated for expected outcomes

Implementation Stages

Tools You Can Use

District Initiative Inventory
Stages of Implementation Analysis
Implementation Action Plan



SISEP

District Initiative Inventory

Current District Initiatives							
Initiative	Expected Outcome	Target Population	Mandated/ Regulatory Activity? Yes/No	Financial Commitment (1=low, 5=high)	Relation to District Priorities & Strategic Plan (1=low, 5=high)	Level of Success (1=low, 5=high)	Evidence of Outcomes
			☐ Yes ☐ No	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	
			☐ Yes ☐ No	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	
			☐ Yes ☐ No	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	
			☐ Yes ☐ No	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	
			☐ Yes ☐ No	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	

Adapted from MiBLSi (4/15/10), ISSA (10/19/09), G.Sugai (1/26/01)

The AI Hub, AI Modules and AI Lessons are an initiative of the State Implementation & Scaling-up of Evidence-based Practices Center and the National implementation Research Network

Stage-Related Activities for: **Exploration**	In Place (2)	Initiated or Partially In Place (1)	Not Yet in Place (0)	Evidence for "In Place" or "Initiated or Partially In Place" Components
1. Form "Implementation Team" or Re-Purpose/Expand a Current Group				
2. Develop communication plan to describe the exploration process (e.g. activities, participants, timeline, benefits, risks) to key stakeholder groups				
3. Analyze Data to determine need and prevalence of need				
4. Select Targeted Areas to address Need (e.g. student, teacher, family outcomes)				
5. Review and identify programs, practices, interventions that match target area and address need				
6. Review and discuss "eligible" programs and practices (i.e. use the Hexagon tool or a Delphi Process) in relation to:				
a) Need				
b) Fit				
c) Resources – Sustainability				
d) Strength of Evidence				
e) Readiness for Replication				
f) Capacity to Implement				
7. Select programs/practices for continued exploration based on assessment results from above				
8. Develop methods to promote exploration and assess "buy-in" for range of impacted stakeholders				
9. Analyze information and results of exploration activities				

SISEP

Implementation Stages Action Plan

ai HUB The Active Implementation Hub

Name of District: Click here to enter text.

Date: Click here to enter a date.

Name of Implementation Team Members: Click here to enter text.

Exploration Stage

- Decision regarding commitment to adopting the program/practices and supporting successful implementation
- Implementation Team, communication plan developed
- Identify need, programs to meet need, determine fit, examine evidence
- Consider resource availability, assessing readiness, capacity to implement

Action Planning: What might we do to further strengthen our Exploration process? Are there activities we need to revisit? What are the "next right steps" to engage in or revisit activities?

Activities	Time Frame	Person(s) Responsible	Resources needed
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

SISEP

Try It Now!

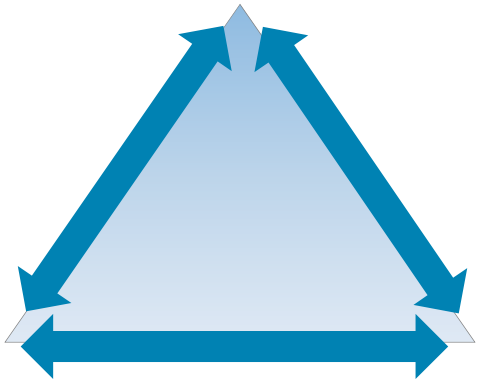
Supporting
New Ways of Work

Stages of Implementation

- Discuss the Exploration or Installation Stage indicators.
- What are you already doing that is "stage-based"?
- What are the facilitators and barriers to doing stage-based work?

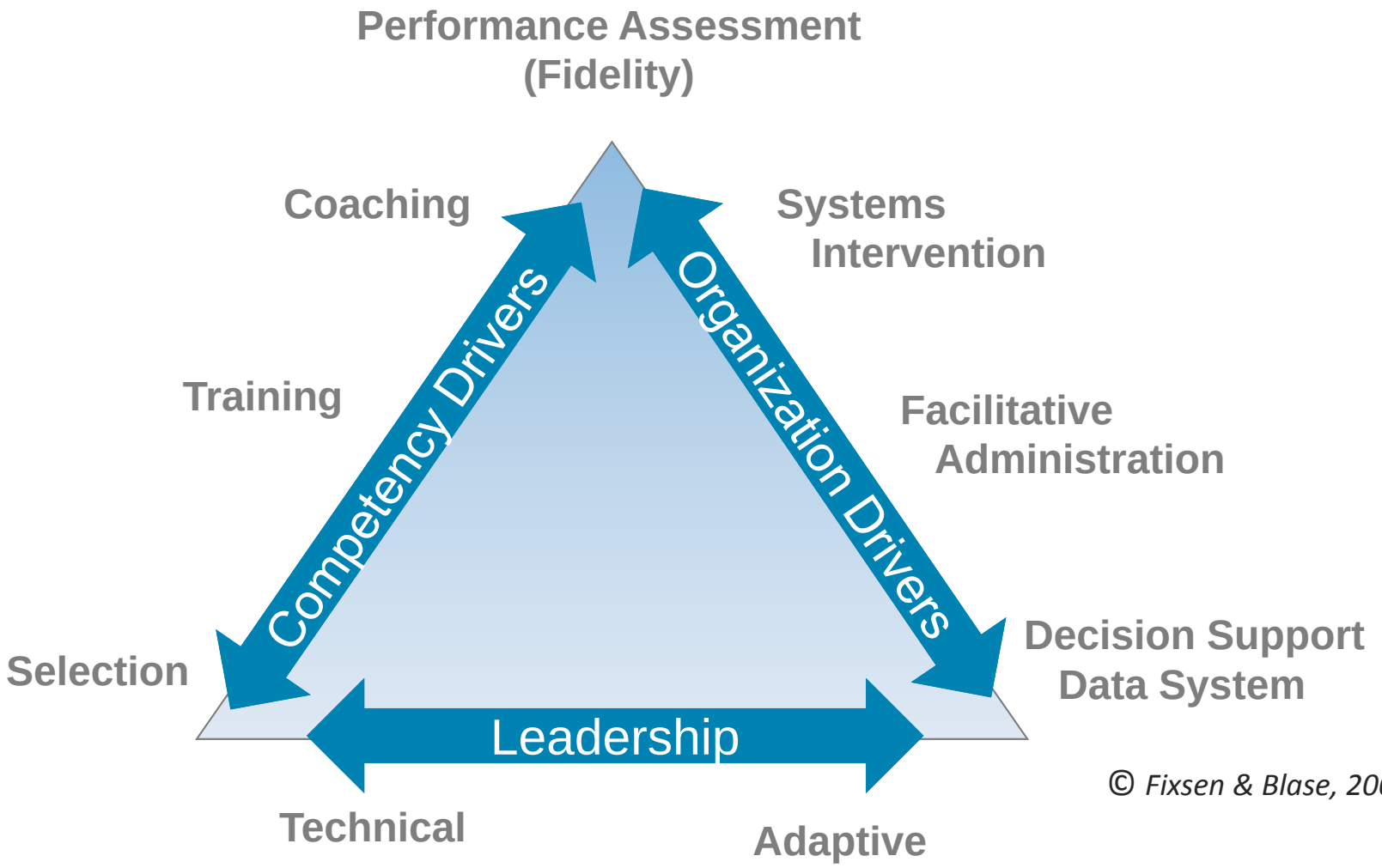
IMPLEMENTATION DRIVERS

Common features of successful supports to help make full and effective use of a wide variety of innovations



SISEP

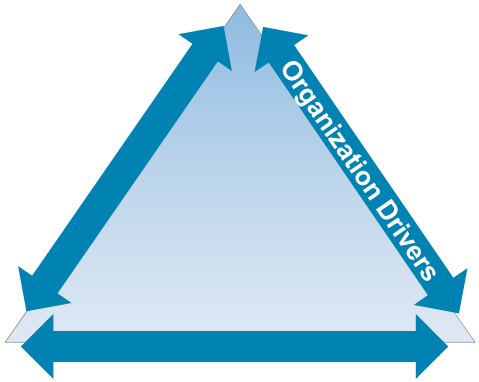
Implementation Drivers



© *Fixsen & Blase, 2008*

SISEP

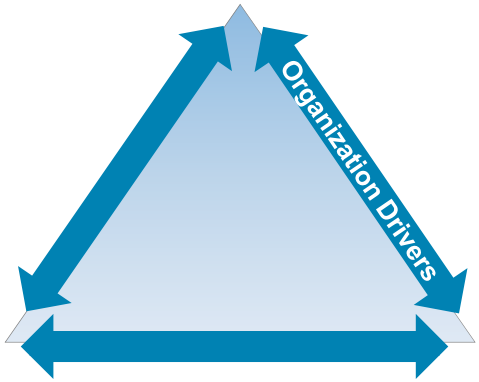
Organization Drivers



- Change Organizations and Systems
- Create and sustain hospitable organizational and system environments for effective services
- Develop functional data systems that can be used to inform decision-making

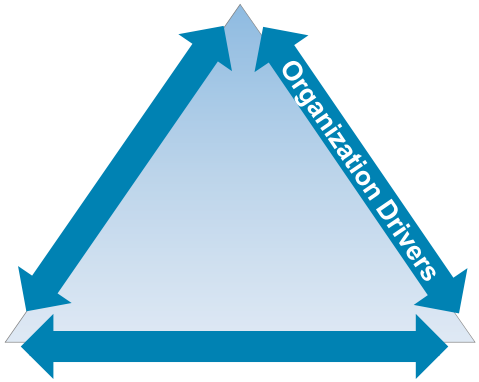
Implementation Drivers

Decision Support Data Systems Purposes



- Monitor and improve student outcomes through data-based decisions
- Provide information to assess effectiveness of intervention and prevention practices
- Analyze the relationship of fidelity to outcomes
- Guide further program development
  - Detect discrete issues as well as systemic issues
- Engage in continuous quality improvement
  - Of the Intervention and the Drivers
- Celebrate success
- Be accountable to parents, Board of Education taxpayers, and other funders

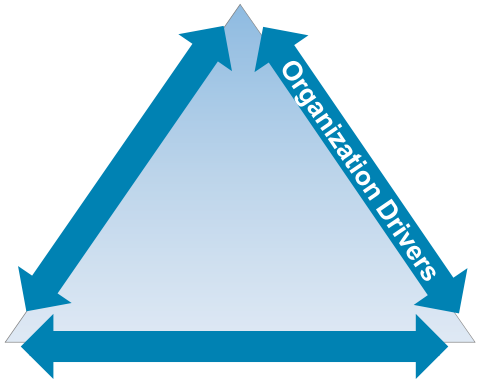
Facilitative Administration Purposes



- Driving change within your direct sphere of influence
- Creates an internally hospitable environment for the new way of work – at the level of the "agency" (e.g. school, District)
- Facilitates the installation, implementation, and improvement of the Drivers for each innovation
- Looks for ways to make the direct work of practitioners (e.g. teachers, school staff) and administrators more effective and less "burdensome"!!

Implementation Drivers

Systems Intervention Purposes



- Driving change outside your direct sphere of influence
- Identify and “lift up” systemic barriers and facilitators to the next level to improve support for the new way of work
- Create an externally “hospitable” environment for the new way of work
- Embed facilitators and strengths
- Contribute to cumulative learning in multi-site projects

Leadership Drivers

Purpose

Identifying technical and adaptive challenges and applying appropriate, effective strategies to address those challenges

Kinds of problems

- **Tame Problems**
  Often complicated (e.g. safety of nuclear generators, air traffic control)

- **Wicked Problems**
  They are <u>messy, devious, and fight back when you try to "solve" them</u>

—Rittel & Webber, 1973

Wicked problems

Each attempted solution *permanently alters* the nature of the problem.

- **"The problem" is a moving target**
- **Attempted "solutions" often make the problem worse, not better**
- **Legitimate But Competing Alternatives: "Solutions" as defined by one group are seen as "calamitous failures" by other groups**

Leadership

Different challenges call for different strategies

- Technical Strategies
- Adaptive Strategies

According to Ron Heifetz and his colleagues at Harvard's Kennedy School of Government, one of the biggest mistakes "leaders" make is to incorrectly identify the type of challenge they are facing

Using technical approaches for adaptive issues (and vice versa)

Leadership

Technical *Challenges*

- Perspectives are aligned (views, values)
- Definition of the problem is clear
- Solution and implementation of the solution is relatively clear
- There is reasonable confidence that if the solution is implemented there will be resolution
- There can be a "primary" locus of responsibility for organizing the work

Leadership

Technical *Strategies*

- Use established norms/ goals
- Define problems
- Provide solutions
- Clarify roles and responsibilities
- Assign tasks
- Manage conflict
- Maintain order and organization

Leadership

Adaptive *Challenges*

- Legitimate, yet competing, perspectives emerge
- Definition of the problem is unclear
- There are different perspectives on the "issue" at hand
- Solution and implementation are unclear and require learning
- Primary locus of responsibility is not a single entity or person

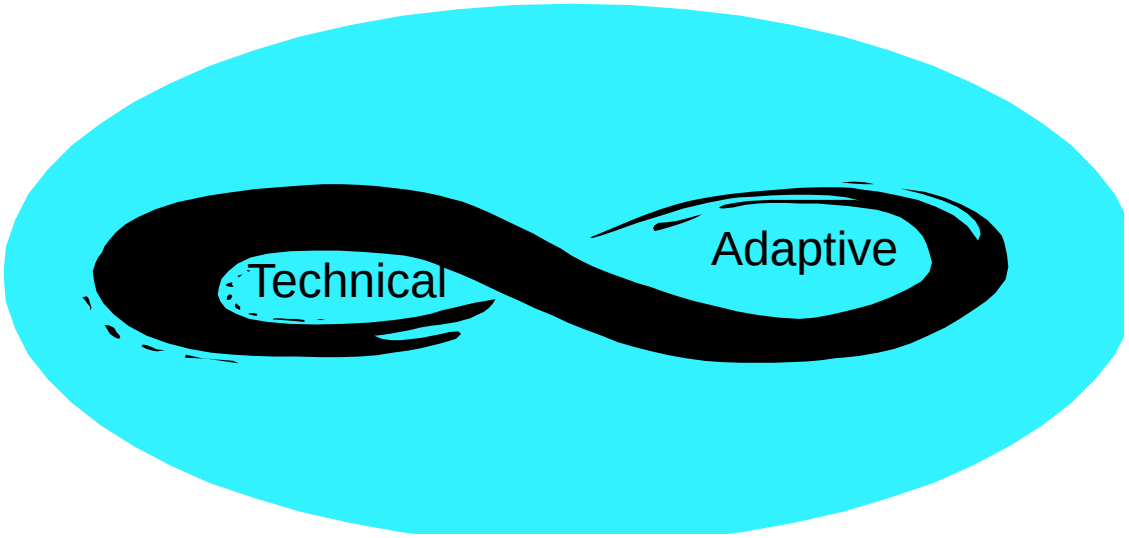
Leadership

Adaptive *Strategies*

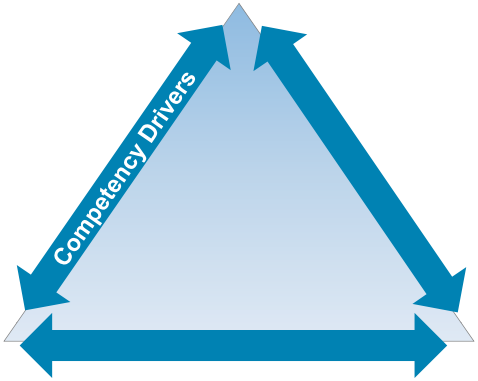
- Get on the Balcony
- Identify the Adaptive Challenge
- Regulate Distress
- Maintain Disciplined Attention
- Give the Work Back to the People
- Protect All Voices

—Ron Heifetz
Leadership without Easy Answers, 1996

Managing the Flow



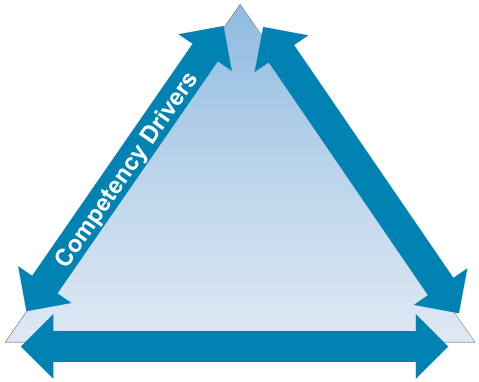
Competency Drivers



Develop, improve and sustain competent and confident use of the innovation through

- **Careful selection of new and lead staff**
- **Design and employ effective training plans**
- **Design and support coaching system**
- **Routine use of performance assessment to inform the process**

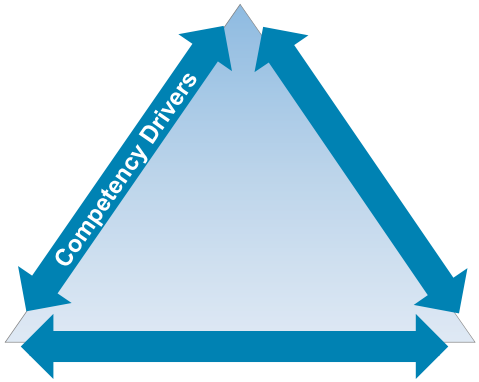
Performance Assessment Purposes



"Are we doing what we said we would do?"

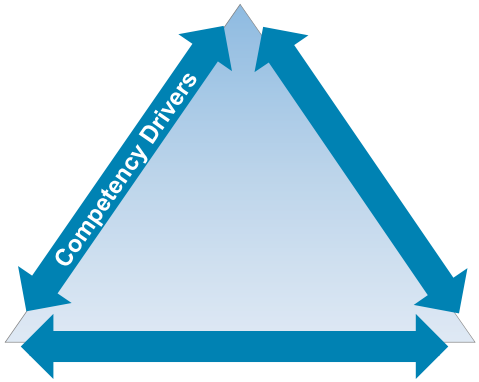
- Measure fidelity
- Motivate implementation
- Reinforce staff and build on strengths
- Interpretation of Outcome Data
- Feedback on functioning of
  - » Recruitment and Selection Practices
  - » Training Programs (pre and in-service)
  - » Supervision and Coaching Systems

Selection Driver Purposes



- Select for the "tough to teach traits"
- Screen for pre-requisites
- Set expectations for new hires – use of data, coaching
- Allow for mutual selection
- Improve likelihood of retention after "investment"
- Improve likelihood that training, coaching, and supervision will result in implementation

Training Driver Purposes



- Continue “Buy-in” process
- Knowledge acquisition
- Skill Development
- Form a ‘community’
- Get started…get better

Research Synthesis of Adult Learning Studies

Characteristic	Practice	Mean Effect Size
Introduction	Out-of-class learner activities/self-instruction	0.64
	Classroom/workshop presentations	0.63
	Pre-class learner exercises	0.54
Illustration	Trainer role playing/simulations	0.55
	Learner informed input	0.53
Practicing	Real-life learner application	0.94
	Real-life learner application/role-playing	0.86
Evaluation	Self assessment of strengths/weaknesses	0.94
Reflection	Identify performance-improvement goals	1.27
	Journaling/behavior suggestions	0.82
Mastery	Standards-based assessment	0.86

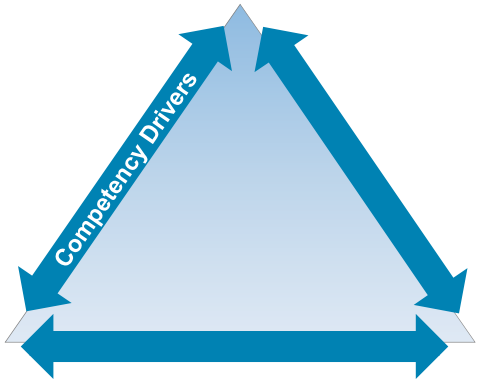
Dunst, C.J., Trivette, C.M., & Hamby, D.W. (2010). Meta-analysis of the effectiveness of four adult learning methods and strategies. *International Journal of Continuing Education and Lifelong Learning*, 3(1), 91-112.

Training and Coaching

	OUTCOMES % of Participants who Demonstrate Knowledge, Demonstrate New Skills in a Training Setting, and Use new Skills in the Classroom		
TRAINING COMPONENTS	Knowledge	Skill Demonstration	Use in the Classroom
Theory and Discussion	10%	5%	0%
..+Demonstration in Training	30%	20%	0%
…+ Practice & Feedback in Training	60%	60%	5%
…+ Coaching in Classroom	95%	95%	95%

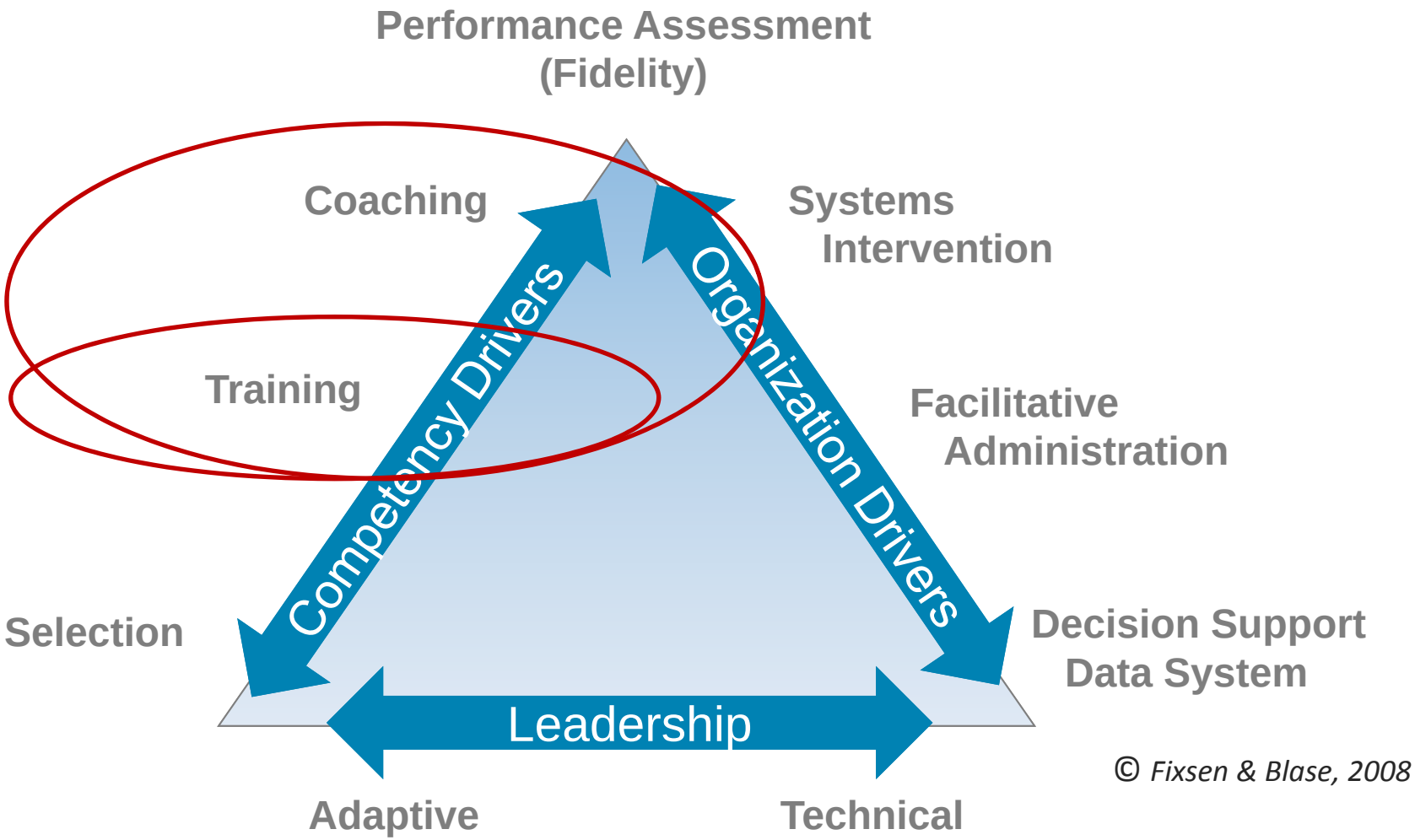
—Joyce and Showers, 2002

Coaching Driver Purposes



- Ensures fidelity
- Ensures implementation
- Develops application judgment in their setting
- Provides feedback to selection and training processes
- Must include direct observation and feedback

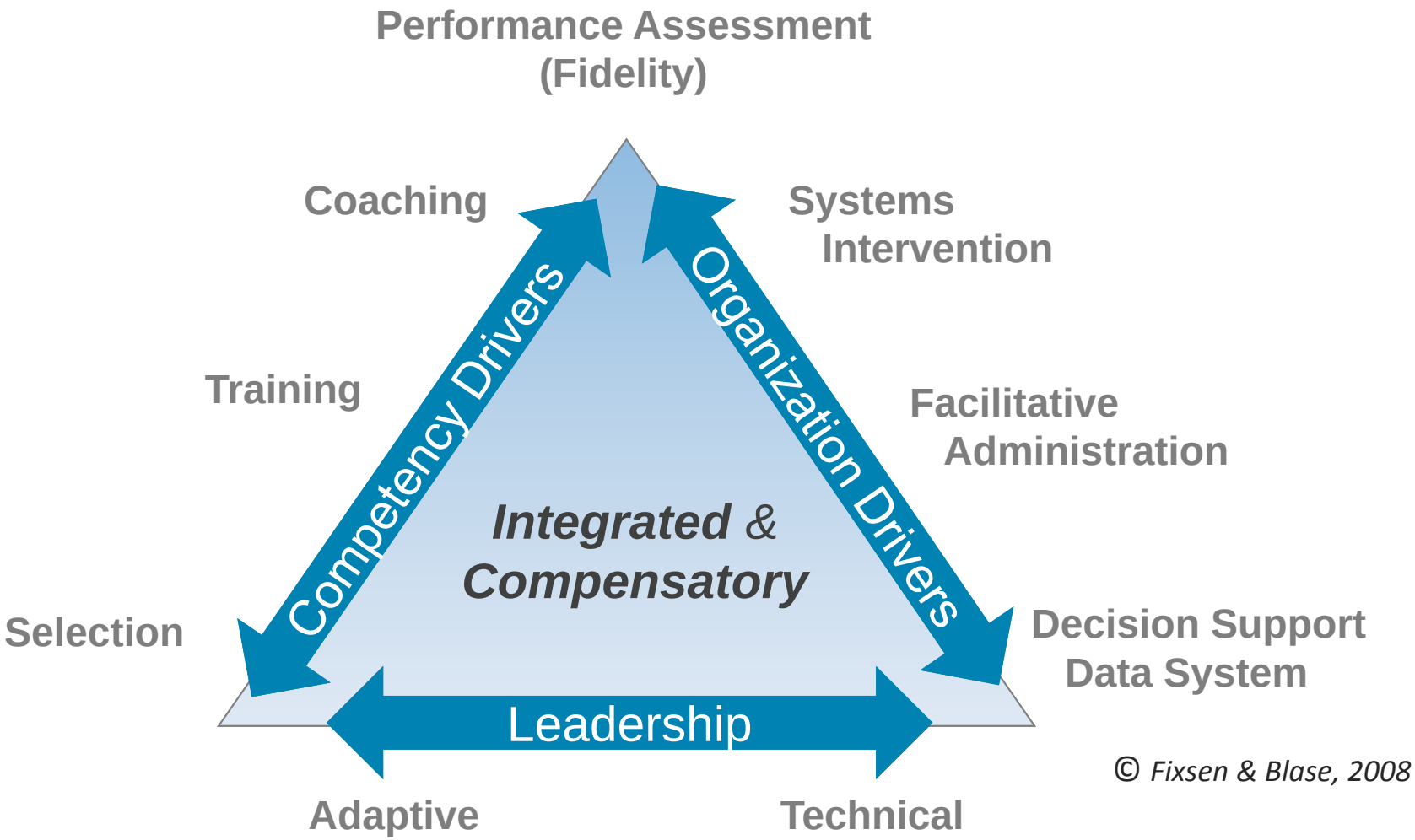
Implementation Drivers



© *Fixsen & Blase, 2008*

SISEP

Implementation Drivers



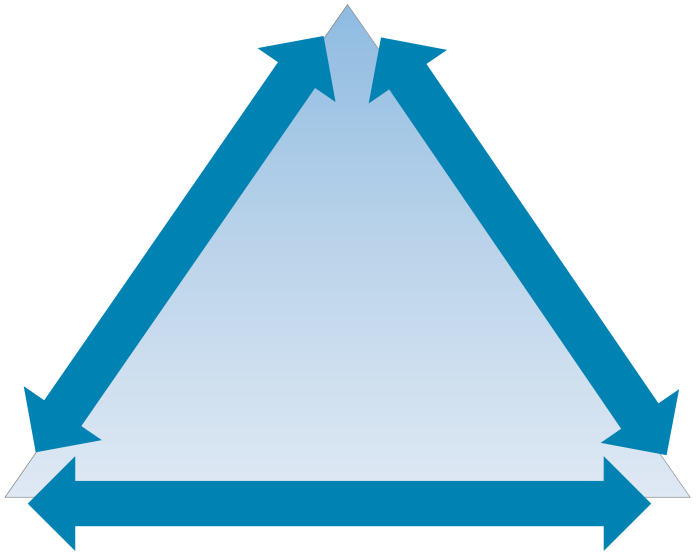
© *Fixsen & Blase, 2008*

SISEP

Competency Drivers
Tools You Can Use

Training Plan Template

Coaching System Worksheet



SISEP

State Implementation
& Scaling-up
of Evidence-based Practices

!

!

Identify Rationale and Key Features of Training Program

Training Program Team Members:

_____

_____

_____

_____

Data demonstrating need for training: _____

Evidence based program or practices to be trained:_____

Hours available for training:_____

Trainer qualifications:_____

Critical components of program or practice:_____

_____

Outcomes desired:_____

Outcomes measurement:_____

!

! !

State Implementation
& Scaling-up
of Evidence-based Practices

Training Plan Template

Critical Component	New Knowledge to be Taught	Method for Teaching	New Skills to be Taught	Method for Teaching	Assessment Method	Assessment Schedule

State Implementation
& Scaling-up
of Evidence-based Practices

ESTABLISHING THE COACHING SYSTEM

Evidence-based Program:_____

Usable Intervention	**In Place**	**Partially In Place**	**Not In Place**	**Notes**
Critical components of program have been identified				
Expected implementation is defined for each component				
Acceptable developmental variations defined for each component				
Unacceptable, ineffective variations defined for each component				
Facilitative Administration	**In Place**	**Partially In Place**	**Not In Place**	**Notes**
"Coach" Job Description has been approved				
• Roles and responsibilities adequately defined				
• Selection criteria detailed				
Necessary funding support has been identified				
Accountability structure has been established				
Coach's level of authority has been clearly defined				
Enabling policies have been developed				

Try It Now!

Supporting
New Ways of Work

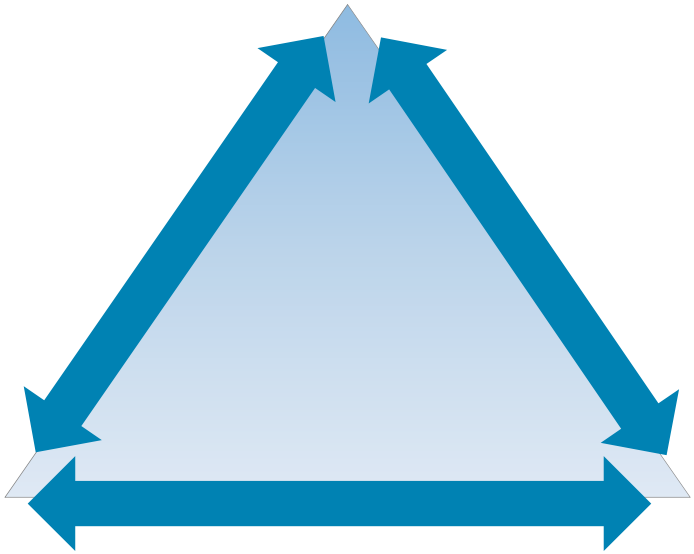
Competency Drivers: Training and Coaching

- Are the core components you identified new knowledge or new skills?
- How does that impact your training?
- How can you coach to support new skills?

Implementation Drivers
Tools You Can Use

Strategic Analysis of Drivers
Implementation Drivers:
Team Review & Planning

Drivers Action Plan
Implementation Drivers:
Best Practices



SISEP

Strategic Analysis of Drivers

COMPETENCY IMPLEMENTATION DRIVERS Focused on the following staff/position: _____ and Program: _____	Locus of Responsibility for the Driver What entity(ies) responsibility for this Driver? Do you have Formal authority in relation to the person or entity responsible for the Driver or Informal authority (influence)?	How will this Driver be used to support the implementation, sustainability, high fidelity of the innovation/practice/framework?	How will this Driver be developed, monitored for quality, and maintained over time? **How can we strengthen this driver, and at what cost?
Recruitment and Selection	__Formal Authority __Influence		
Training	__Formal Authority __Influence		
Coaching	__Formal Authority __Influence		
Staff Performance Evaluation	__Formal Authority __Influence		

Implementation Drivers: Team Review & Planning

Organization Implementation Driver: Facilitative Administration

Description:

Facilitative administrative practices purposefully develop and implement policies and practices

- To support the new ways of work of teachers and staff
- To reduce implementation barriers
- To create hospitable environments for teachers and staff to fully and effectively implement the effective program or practice

Questions:	Team Notes:
1. *Who is responsible for ensuring that guidelines, policies, and procedures support the implementation of the innovation and improved student outcomes?*	
2. *What are your Implementation Team's responsibilities related to ensuring that the necessary supports, guidelines, policies, and procedures support the implementation of the innovation and promote student outcomes?*	
3. *Who else plays a role? What other teams at which level (e.g. Building Implementation Team, District, Regional, State)? What is your team's role in communicating barriers and facilitators to others?*	
4. *How important is a facilitative administrative environment to achieving the desired outcomes for the selected innovation? To achieving fidelity?*	
5. *What are the next right steps for increasing the administrative support for the innovation? Who will take the lead? What is the timeline for completing the next right steps?*	

Implementation Drivers Action Plan

Name of District: Click here to enter text. **Date: Click here to enter a date.**

Name of Implementation Team Members: Click here to enter text.

Competency Driver: *Performance Assessment*

- Is there a currently available performance assessment (e.g. walk through, documentation, observation process, other process data) to provide us with feedback on whether or not we are doing what we said we would do?
- Who will be responsible for assessing performance/ fidelity?
- How will your Implementation Team be able to support, resource, monitor, participate in, and/or improve the performance assessment process?
- Who else plays a role? What other teams at which level (e.g. Building Implementation Team, District, Regional, State)?
- How important is the performance assessment process to achieving the desired outcomes?

What are the next right steps for activating the Performance Assessment Driver?

Activities	Time Frame	Person(s) Responsible	Resources needed
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

SISEP

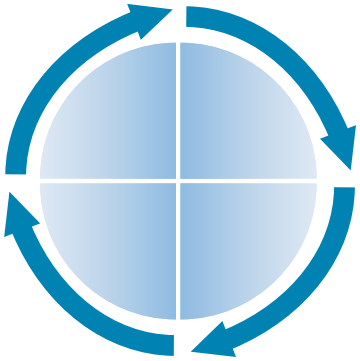
Implementation Drivers: Best Practices

COMPETENCY DRIVER: Performance Assessment - Fidelity				
To what extent are best practices being used?	**In Place**	**Partially In Place**	**Fully In Place**	**Notes**
Accountability for fidelity measurement and reporting system is clear (e.g. lead person designated and supported)				
Transparent Processes – Proactive staff orientation to the process and procedures				
Fidelity measures are correlated with outcomes; are available on a regular basis and used for decision- making				
Fidelity measurement and reporting system is practical and efficient				
Use of Appropriate Data Sources (e.g. competency requires observation)				
Positive recognition processes in place for participation				
Fidelity data over time informs modifications to implementation drivers (e.g. how can Selection, Training, and Coaching better support high fidelity)				
Best Practice Scores - Average Percent of Performance Assessment/Fidelity Items in each column				

SISEP

IMPROVEMENT CYCLES

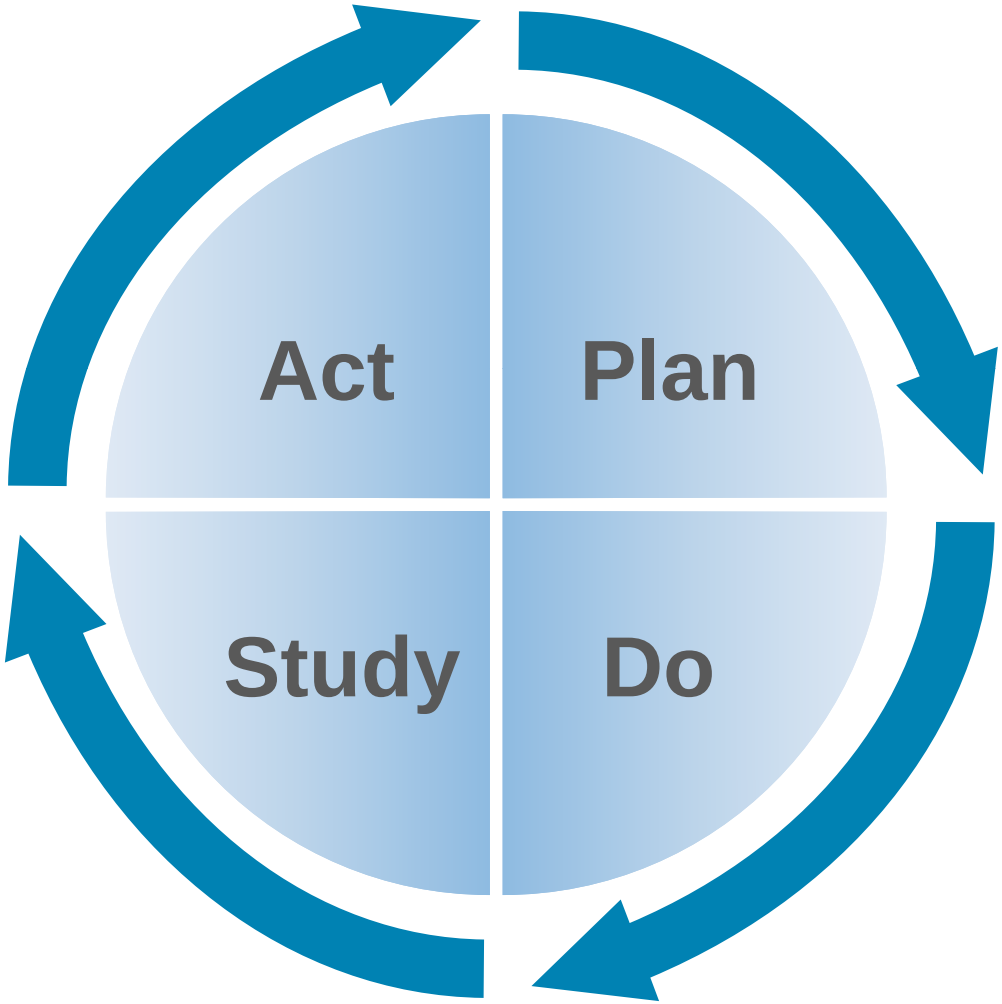
Changing on purpose to support the new way of work



SISEP

Improvement Cycles

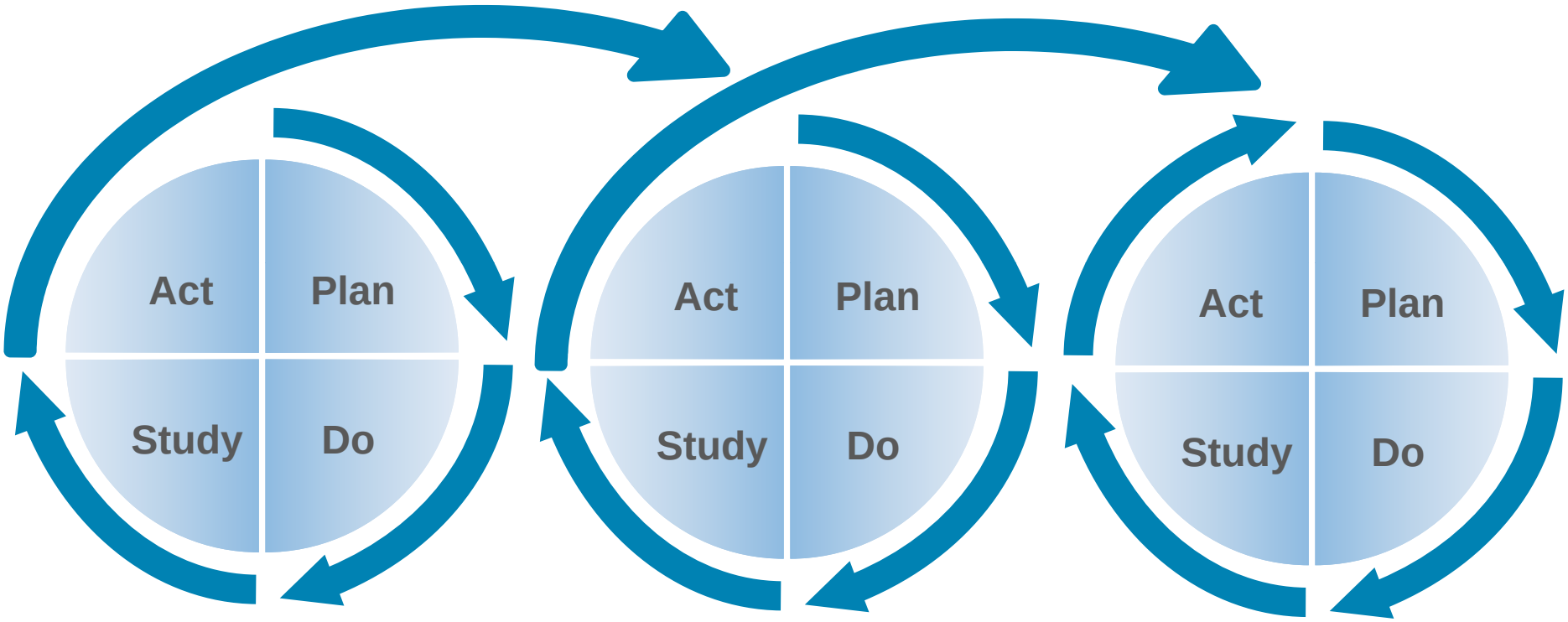
Rapid Cycle Problem Solving



SISEP

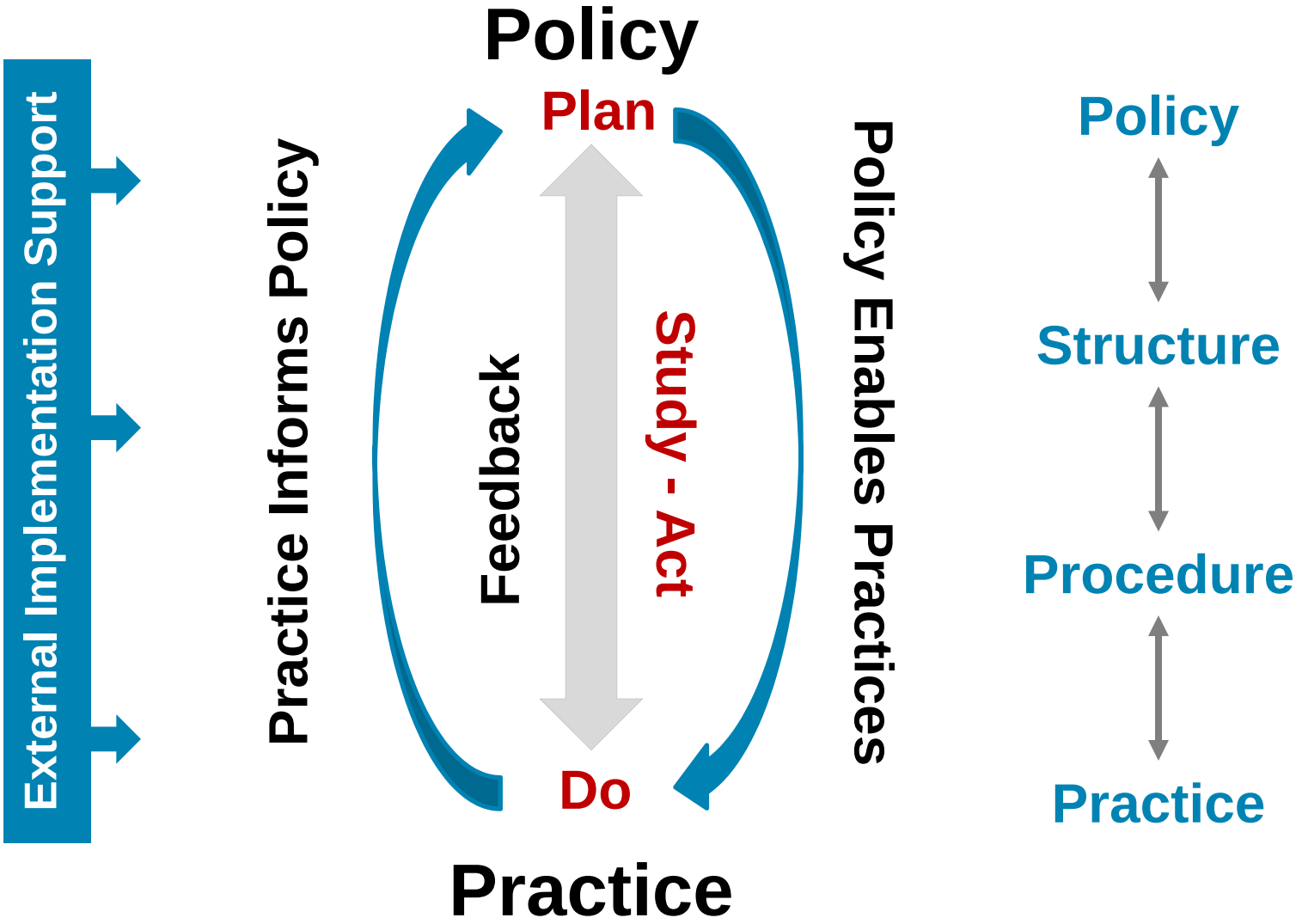
Improvement Cycles

Usability Testing



SISEP

Practice-Policy Communication Cycle

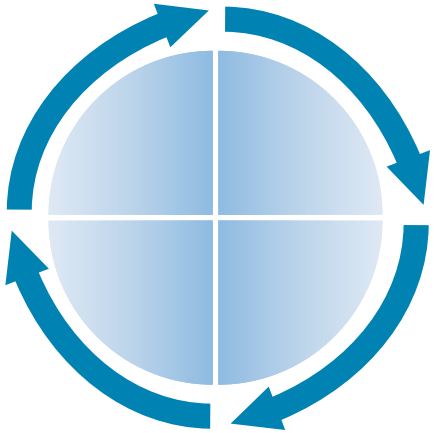


SISEP

FORM SUPPORTS FUNCTION

Improvement Cycles
Tools You Can Use

Simple PDSA Worksheet
Communication Protocol Worksheet



SISEP

PLAN: What is the plan for implementing the project or activity, or this segment of the project or activity?
DO: Who initiates the plan? What needs to be done and by whom? When will we begin to check our progress? What barriers are emerging?
STUDY: Development of rapid cycle assessments - How well is it working? How will we know the results of implementing the plan?
ACT: What changes need to be made in the next iteration of the PLAN as a result of the results from this cycle?

SISEP

Communication Protocol Worksheet

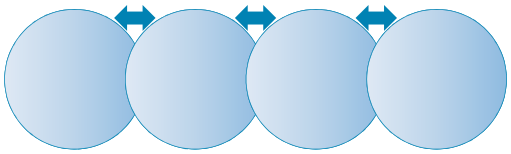
State Implementation & Scaling-up of Evidence-based Practices

From: _____

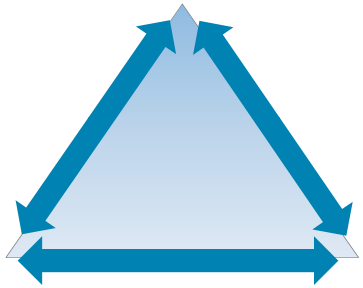
To: _____

Rationale	
Issues to Communicate	
Responsible Individual(s)	
Schedule, Time Allotted	
Format	
Response Timeline	
Response Format	

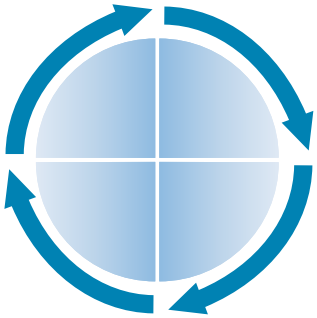
HOW: Implications for Sustainability and Scalability



- Teams provide guidance on the importance of stage-based work



- Teams help ensure and shift the locus of responsibility for each Driver



- Teams normalize implementation challenges

Formula for Success

WHAT:
Effective & Usable Practices and Programs

×

WHO & HOW:
Effective Implementation Methods

×

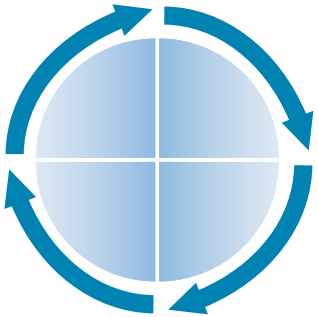
WHERE:
Enabling Contexts

=

WHY:
Educationally Significant Outcomes

WHERE:

Enabling Context



- Create a hospitable system with linked communication and problem-solving protocols to support the effective WHAT
- Ensure that practice informs policy, and policy enables better practice
- Get started, then get better…on purpose!

Formula for Success

WHAT:
Effective & Usable Practices and Programs

×

WHO & HOW:
Effective Implementation Methods

×

WHERE:
Enabling Contexts

=

WHY:
Educationally Significant Outcomes

State Implementation & Scaling-up of Evidence-based Practices

http://implementation.fpg.unc.edu

Free 24/7 Implementation Training for You and Your Team

SISEP's newly launched "Active Implementation Hub" is a free, online learning environment for use by any stakeholder — practitioners, educators, coaches, trainers, purveyors — involved in active implementation and scaling up of programs and innovations. The site goal is to increase the knowledge and improve the performance of persons engaged in actively implementing any program or practice."

The AI Hub is an initiative of the State Implementation & Scaling-up of Evidence-based Practices Center (SISEP) and The National Implementation Research Network (NIRN) located at The University of North Carolina at Chapel Hill's FPG Child Development Institute.

IDEAs that Work
Office of Special Education Programs

Get Connected!

www.scalingup.org

Like

SISEP

Subscribe to eNotes

Follow us on Twitter

@SISEPcenter

For more on Implementation Science

http://nirn.fpg.unc.edu

www.implementationconference.org

SISEP

©Copyright Dean Fixsen and Karen Blase

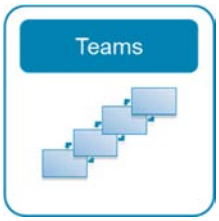
This content is licensed under Creative Commons license CC BY-NC-ND, Attribution-NonCommercial-NoDerivs. You are free to share, copy, distribute and transmit the work under the following conditions: Attribution — You must attribute the work in the manner specified by the author or licensor (but not in any way that suggests that they endorse you or your use of the work); Noncommercial — You may not use this work for commercial purposes; No Derivative Works — You may not alter or transform this work. Any of the above conditions can be waived if you get permission from the copyright holder.

http://creativecommons.org/licenses/by-nc-nd/3.0

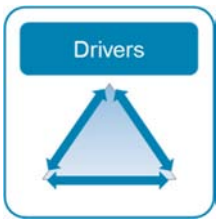
Handout 1.1
The Active Implementation Frameworks

In 2005, the National Implementation Research Network (NIRN) released a monograph[1] synthesizing implementation research findings across a range of fields. The NIRN also conducted a series of meetings with experts to focus on implementation best practices[2]. Based on these findings and subsequent research and field learning, NIRN developed five overarching frameworks referred to as the Active Implementation Frameworks.

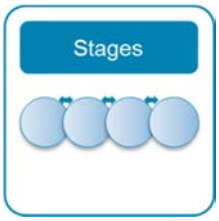
Usable Interventions are effective and well-operationalized. Well-operationalized interventions can be taught and coached so educators can use them as intended (with fidelity). An intervention needs to be teachable, learnable, doable, and readily assessed in practice if it is to be used effectively to reach all students who could benefit.



Implementation Teams support the full, effective, and sustained use of effective instruction and behavior methods. Linked Implementation Teams define an infrastructure to help assure dramatically and consistently improved student outcomes.



Implementation Drivers are the key components of capacity that enable the success of innovations in practice. Implementation Drivers assure development of relevant competencies, necessary organization supports, and engaged leadership.



Implementation Stages outline the integrated, non-linear process of deciding to use an effective intervention and finally having it fully in place to realize the promised outcomes. Active implementation stages are Exploration, Installation, Initial Implementation and Full Implementation.

Improvement Cycles support systematic and intentional change. Improvement cycles are based on the Plan, Do, Study, Act (PDSA) process for rapidly changing methods, usability testing for changing interventions and organization supports, and practice-policy communication cycles for changing systems to enable continual improvement in impact and efficiency.

---

[1] Fixsen, D. L., Naoom, S. F., Blase, K. A., Friedman, R. M. & Wallace, F. (2005). Implementation Research: A Synthesis of the literature. The National Implementation Research Network.

[2] Blase, K. A., Fixsen, D. L., Naoom, S. F., & Wallace, F. (2005). Operationalizing implementation: Strategies and methods. Tampa, FL: University of South Florida, Louis de la Parte Florida Mental Health Institute.

Coaching System Development Worksheet

The Active Implementation Hub

Background

Professional development, support, and feedback are keys to quality service delivery and to improving service delivery over time and across staff. Coaching has been demonstrated as a key element to ensure implementation, fidelity, and quality of services. A Coaching Service Delivery Plan details the mutual responsibilities of the Coach and the Education Advocate. Both must participate fully in order for the coaching relationship to be beneficial to children and their families. The Coaching Service Delivery Plan is a proactive approach to purposeful and supportive coaching. It specifies the Coaching Elements that will promote quality service delivery, support for the Advocate, and serve as the basis for further professional development. It details the responsibilities of both the Coach and the Educational Advocate. Sound coaching relies on multiple sources of data including qualitative reports of activities, observations, and issues from the Advocate as well as data related to service delivery timeliness, perceived quality and helpfulness of the service by stakeholders, and outcomes of service provision. By developing a Coaching Service Delivery Plan and then adjusting it over time – always with the goal of improved service to children and families – the Coach and Advocate can partner in this quality improvement effort. The template provided below provides the basis for developing a Coaching System.

Evidence-based Program: _____

Usable Intervention	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Critical components of program have been identified				
Expected implementation is defined for each component				
Acceptable developmental variations defined for each component				
Unacceptable, ineffective variations defined for each component				

Facilitative Administration	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
"Coach" Job Description has been approved				
• Roles and responsibilities adequately defined				
• Selection criteria detailed				
Necessary funding support has been identified				
Accountability structure has been established				
Coach's level of authority has been clearly defined				
Enabling policies have been developed				

Next Steps	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Exploration process identified				
First generation coaches selected				
Process/schedule determined for future coach selection				
Coaching procedures developed				
Feedback report structures determined				
Staff to coach feedback loop defined				
Coaching Service Delivery Plan developed				
Accountability structure detailed				
Access to intervention data established				
Access to implementation data established				

Coaching System Development Worksheet

The Active Implementation Hub

Background

Professional development, support, and feedback are keys to quality service delivery and to improving service delivery over time and across staff. Coaching has been demonstrated as a key element to ensure implementation, fidelity, and quality of services. A Coaching Service Delivery Plan details the mutual responsibilities of the Coach and the Education Advocate. Both must participate fully in order for the coaching relationship to be beneficial to children and their families. The Coaching Service Delivery Plan is a proactive approach to purposeful and supportive coaching. It specifies the Coaching Elements that will promote quality service delivery, support for the Advocate, and serve as the basis for further professional development. It details the responsibilities of both the Coach and the Educational Advocate. Sound coaching relies on multiple sources of data including qualitative reports of activities, observations, and issues from the Advocate as well as data related to service delivery timeliness, perceived quality and helpfulness of the service by stakeholders, and outcomes of service provision. By developing a Coaching Service Delivery Plan and then adjusting it over time – always with the goal of improved service to children and families – the Coach and Advocate can partner in this quality improvement effort. The template provided below provides the basis for developing a Coaching System.

Evidence-based Program: _____

Usable Intervention	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Critical components of program have been identified				
Expected implementation is defined for each component				
Acceptable developmental variations defined for each component				
Unacceptable, ineffective variations defined for each component				

Facilitative Administration	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
"Coach" Job Description has been approved				
• Roles and responsibilities adequately defined				
• Selection criteria detailed				
Necessary funding support has been identified				
Accountability structure has been established				
Coach's level of authority has been clearly defined				
Enabling policies have been developed				

Next Steps	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Exploration process identified				
First generation coaches selected				
Process/schedule determined for future coach selection				
Coaching procedures developed				
Feedback report structures determined				
Staff to coach feedback loop defined				
Coaching Service Delivery Plan developed				
Accountability structure detailed				
Access to intervention data established				
Access to implementation data established				

Coaching System Development Worksheet

The Active Implementation Hub

Background

Professional development, support, and feedback are keys to quality service delivery and to improving service delivery over time and across staff. Coaching has been demonstrated as a key element to ensure implementation, fidelity, and quality of services. A Coaching Service Delivery Plan details the mutual responsibilities of the Coach and the Education Advocate. Both must participate fully in order for the coaching relationship to be beneficial to children and their families. The Coaching Service Delivery Plan is a proactive approach to purposeful and supportive coaching. It specifies the Coaching Elements that will promote quality service delivery, support for the Advocate, and serve as the basis for further professional development. It details the responsibilities of both the Coach and the Educational Advocate. Sound coaching relies on multiple sources of data including qualitative reports of activities, observations, and issues from the Advocate as well as data related to service delivery timeliness, perceived quality and helpfulness of the service by stakeholders, and outcomes of service provision. By developing a Coaching Service Delivery Plan and then adjusting it over time – always with the goal of improved service to children and families – the Coach and Advocate can partner in this quality improvement effort. The template provided below provides the basis for developing a Coaching System.

Evidence-based Program: _____

Usable Intervention	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Critical components of program have been identified				
Expected implementation is defined for each component				
Acceptable developmental variations defined for each component				
Unacceptable, ineffective variations defined for each component				

Facilitative Administration	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
"Coach" Job Description has been approved				
• Roles and responsibilities adequately defined				
• Selection criteria detailed				
Necessary funding support has been identified				
Accountability structure has been established				
Coach's level of authority has been clearly defined				
Enabling policies have been developed				

Next Steps	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Exploration process identified				
First generation coaches selected				
Process/schedule determined for future coach selection				
Coaching procedures developed				
Feedback report structures determined				
Staff to coach feedback loop defined				
Coaching Service Delivery Plan developed				
Accountability structure detailed				
Access to intervention data established				
Access to implementation data established				

Coaching System Development Worksheet

The Active Implementation Hub

Background

Professional development, support, and feedback are keys to quality service delivery and to improving service delivery over time and across staff. Coaching has been demonstrated as a key element to ensure implementation, fidelity, and quality of services. A Coaching Service Delivery Plan details the mutual responsibilities of the Coach and the Education Advocate. Both must participate fully in order for the coaching relationship to be beneficial to children and their families. The Coaching Service Delivery Plan is a proactive approach to purposeful and supportive coaching. It specifies the Coaching Elements that will promote quality service delivery, support for the Advocate, and serve as the basis for further professional development. It details the responsibilities of both the Coach and the Educational Advocate. Sound coaching relies on multiple sources of data including qualitative reports of activities, observations, and issues from the Advocate as well as data related to service delivery timeliness, perceived quality and helpfulness of the service by stakeholders, and outcomes of service provision. By developing a Coaching Service Delivery Plan and then adjusting it over time – always with the goal of improved service to children and families – the Coach and Advocate can partner in this quality improvement effort. The template provided below provides the basis for developing a Coaching System.

Evidence-based Program: _____

Usable Intervention	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Critical components of program have been identified				
Expected implementation is defined for each component				
Acceptable developmental variations defined for each component				
Unacceptable, ineffective variations defined for each component				

Facilitative Administration	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
"Coach" Job Description has been approved				
• Roles and responsibilities adequately defined				
• Selection criteria detailed				
Necessary funding support has been identified				
Accountability structure has been established				
Coach's level of authority has been clearly defined				
Enabling policies have been developed				

Next Steps	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Exploration process identified				
First generation coaches selected				
Process/schedule determined for future coach selection				
Coaching procedures developed				
Feedback report structures determined				
Staff to coach feedback loop defined				
Coaching Service Delivery Plan developed				
Accountability structure detailed				
Access to intervention data established				
Access to implementation data established				

Coaching System Development Worksheet

The Active Implementation Hub

Background

Professional development, support, and feedback are keys to quality service delivery and to improving service delivery over time and across staff. Coaching has been demonstrated as a key element to ensure implementation, fidelity, and quality of services. A Coaching Service Delivery Plan details the mutual responsibilities of the Coach and the Education Advocate. Both must participate fully in order for the coaching relationship to be beneficial to children and their families. The Coaching Service Delivery Plan is a proactive approach to purposeful and supportive coaching. It specifies the Coaching Elements that will promote quality service delivery, support for the Advocate, and serve as the basis for further professional development. It details the responsibilities of both the Coach and the Educational Advocate. Sound coaching relies on multiple sources of data including qualitative reports of activities, observations, and issues from the Advocate as well as data related to service delivery timeliness, perceived quality and helpfulness of the service by stakeholders, and outcomes of service provision. By developing a Coaching Service Delivery Plan and then adjusting it over time – always with the goal of improved service to children and families – the Coach and Advocate can partner in this quality improvement effort. The template provided below provides the basis for developing a Coaching System.

Evidence-based Program: _____

Usable Intervention	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Critical components of program have been identified				
Expected implementation is defined for each component				
Acceptable developmental variations defined for each component				
Unacceptable, ineffective variations defined for each component				

Facilitative Administration	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
"Coach" Job Description has been approved				
• Roles and responsibilities adequately defined				
• Selection criteria detailed				
Necessary funding support has been identified				
Accountability structure has been established				
Coach's level of authority has been clearly defined				
Enabling policies have been developed				

Next Steps	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Exploration process identified				
First generation coaches selected				
Process/schedule determined for future coach selection				
Coaching procedures developed				
Feedback report structures determined				
Staff to coach feedback loop defined				
Coaching Service Delivery Plan developed				
Accountability structure detailed				
Access to intervention data established				
Access to implementation data established				

Coaching System Development Worksheet

The Active Implementation Hub

Background

Professional development, support, and feedback are keys to quality service delivery and to improving service delivery over time and across staff. Coaching has been demonstrated as a key element to ensure implementation, fidelity, and quality of services. A Coaching Service Delivery Plan details the mutual responsibilities of the Coach and the Education Advocate. Both must participate fully in order for the coaching relationship to be beneficial to children and their families. The Coaching Service Delivery Plan is a proactive approach to purposeful and supportive coaching. It specifies the Coaching Elements that will promote quality service delivery, support for the Advocate, and serve as the basis for further professional development. It details the responsibilities of both the Coach and the Educational Advocate. Sound coaching relies on multiple sources of data including qualitative reports of activities, observations, and issues from the Advocate as well as data related to service delivery timeliness, perceived quality and helpfulness of the service by stakeholders, and outcomes of service provision. By developing a Coaching Service Delivery Plan and then adjusting it over time – always with the goal of improved service to children and families – the Coach and Advocate can partner in this quality improvement effort. The template provided below provides the basis for developing a Coaching System.

Evidence-based Program: _____

Usable Intervention	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Critical components of program have been identified				
Expected implementation is defined for each component				
Acceptable developmental variations defined for each component				
Unacceptable, ineffective variations defined for each component				

Facilitative Administration	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
"Coach" Job Description has been approved				
• Roles and responsibilities adequately defined				
• Selection criteria detailed				
Necessary funding support has been identified				
Accountability structure has been established				
Coach's level of authority has been clearly defined				
Enabling policies have been developed				

Next Steps	In Place	Initiated or Partially In Place	Not Yet in Place	Notes
Exploration process identified				
First generation coaches selected				
Process/schedule determined for future coach selection				
Coaching procedures developed				
Feedback report structures determined				
Staff to coach feedback loop defined				
Coaching Service Delivery Plan developed				
Accountability structure detailed				
Access to intervention data established				
Access to implementation data established				

Handout 8
Communication Protocol Worksheet

The Active Implementation Hub

Communication is important for any program or innovation. Intentionally developing and using *linking* communication protocols for *new* or existing programs and innovations establishes a transparent feedback process and furthers the development of a hospitable policy, funding, and operational environment.

The specific purposes of linking communication protocols are to:

- Communicate progress and celebrate success throughout the system
- Report systemic barriers that are preventing or hindering implementation and
    - Should be resolved by one of the groups
    - Need to be moved 'up the line' to the group that can best address the barrier
- Report on actions taken related to resolve or address past issues
- Revisit past decisions and agreements periodically to ensure that solutions are still functional

In promoting system alignment, you may be developing a 'chain' of protocols from the practice level to the state level or you may be developing protocols between and among partners in a collaborative group. Depending on a number of factors (e.g. how new the relationships are, how cohesive the groups are, how much a common purpose is shared), it may take one or several meetings to work out the first draft of the protocols. After the protocols have been tried out a couple of times, the process should be evaluated for satisfaction and functionality and then adjusted.

Communication Protocol Worksheet

State Implementation & Scaling-up of Evidence-based Practices

From: _____

To: _____

Rationale	
Issues to Communicate	
Responsible Individual(s)	
Schedule, Time Allotted	
Format	
Response Timeline	
Response Format	