

The INSTALLATION STAGE for Scaling-Up

State Implementation and Scaling up of Evidence-based Practices

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The Stages of Implementation are not as linear as they seem in print. The Installation process begins even as some individuals and organizations are still deciding if the innovation is a good idea or not (Exploration Stage). In addition, as the Installation Stage activities begin, the reality of the process begins to sink in causing some to reconsider their decision to participate (Exploration, revisited). Some aspects of implementation like practitioner selection best practices may begin (Initial Implementation Stage) at the same time other best practices such as performance assessments are being debated and developed (still in the Installation Stage).

The essence of the Installation Stage is to begin to secure the resources to make full and effective use of an innovation (in this case, scaling up implementation capacity). Installation encompasses creating the context (amassing resources such as people, funding), developing the content (establishing the foundations for scaling up by teaching/ learning concepts and strategies), and building competencies (knowledge, skills, and abilities at all levels) in preparation for initiating and doing the work ahead (www.nirn.fpg.unc.edu). The work during the Installation Stage is highly interactive and adaptive as the real work of change begins in the midst of States continuing to operate their education systems.

Creating the Context

The Installation Stage flows from the site visit conducted during the Exploration Stage as part of the State selection process. During the site visit, the scaling up enterprise was outlined and the State's commitment of people and resources was reviewed, discussed, and agreed to. Capacity building requires people who can learn the intricacies of the practice and science of implementation, organization change, and system transformation. People represent resources a State must allocate/ re-allocate to creating a new infrastructure to support implementation and scaling up on evidence-based programs and other innovations. In the Exploration Stage we emphasized that each State would need to invest about \$2 million to \$3 million in the initial stages of scaling up. Most of the States already were investing that much or more in implementation activities in their State.

Appendix A shows the email sent to each State to set the agenda for the first few meetings. The first part of creating the context was to establish a routine of monthly one-

hour meetings with the State Management Team (SMT). This is the foundation for the PEP-PIP improvement cycle (Policy-Enabled-Practice and Practice-Informed-Policy) and a forum for teaching/ discussing concepts related to implementation and scaling up.

In practice, the participation of the SMT has been uneven across the States. The monthly meetings have occurred, but with various members of the SMT present depending on the past/ current meeting structures and organization of the SEA in each State. Currently, in one State the SMT encompasses all key leaders of divisions within the SEA, the SMT meets weekly, and one hour is allotted to scaling up during the monthly SISEP visit. In the other States, SMT meetings occur monthly or on an on-call basis organized around State Board of Education or State Legislative meetings. In these States, the SISEP monthly meeting occurs with a subset of the SMT members, typically the State directors of general and special education, managers of various school improvement initiatives, and contracted services. In the future, more time during the Exploration Stage needs to be devoted to SMT scheduling and functioning to clarify current practices, typical schedules, and to secure agreement about which SMT members will attend the monthly meetings with SISEP. At this point, we do not know what, if any, difference the SMT meeting composition may have on scaling up. It is likely we will find out when Initial Implementation is underway fully and real practice and system change issues are taken up in the PEP-PIP improvement cycle. Those issues will require the full participation of the SMT in problem solving and system change and we will know then if we have the right people in the room. We are watching this with interest.

For the first several months, discussions during the monthly visits with the SMT were organized around a “goals” list (*Appendix B*). The first item that was discussed at each meeting was progress toward securing the two State Transformation Specialists (one from General Education, one from Special Education) and securing the nine members of the first Regional Implementation Team. The “position description” for a State Transformation Specialist is provided in *Appendix C*. The “deadline” was to have nearly all of these 11 people named by the end of December 2008 (about 4 months into the Installation process) and in place and ready to attend the Scaling Up and Implementation Institute in Chapel Hill, NC in early March 2009 (about 7 months into the Installation Process). Without the people in place, capacity development cannot occur since the capacity to scale up evidence-based programs resides in people who have the knowledge, skills, and abilities to do this new kind of work.

Of the 8 State Transformation Specialists needed across the 4 States, 4 of the 8 were identified by October 2008 (3 from Special Education, 1 from General Education) and 2 States had both State Transformation Specialists in place by January 2009 (a total of 6 of the 8 needed across the 4 States). The other 2 States are working on securing the second person (needed from General Education in each case). Of the 36 Regional Implementation Team members needed across the 4 States, one State had all 9 identified and meeting with SISEP in January. All 4 States had their full complement of RIT members present for the March 2009 Scaling Up and Implementation Institute. Thus, the SMTs invested in implementation and secured the 11 individuals by the March deadline.

From the beginning of the Installation Stage in September 2008 through March 2009 (7 months), the context for scaling up is almost completely established.

Developing the Content

A critical part of the Installation Stage is *relationship development*. Relationships are developed through personal contact and through working together to achieve common goals. Thus, an essential part of scaling up is frequent face-to-face meetings so individuals can get to know one another and learn to appreciate each other. The relationships that are developed during the course of solving relatively benign issues early on help build the foundation for the trust and depth of understanding that can be drawn upon later when the issues are contentious and difficult to resolve. All SISEP staff have remarked on the value of “hallway discussions” and pre-post meeting chatter to build a more relaxed way of work with the State leaders and others. Thus, while the monthly in-state, face-to-face meetings require an investment of time and travel funds, the monthly meetings are seen as critical to developing an infrastructure for scaling up evidence-based programs in a State.

The Installation Stage for scaling up requires establishing the fundamental building blocks. For scaling up this entails:

Deciding on the first Transformation Zone

A Transformation Zone can be thought of as a “vertical slice” of the education system from the classroom to the Capitol. The “slice” is small enough to be manageable but large enough to include all aspects of the system. When a Transformation Zone is formed it includes students, parents and parent groups, teachers and staff, important stakeholders and partners, key policy makers at the state level, and all components of the bureaucracy in between. In brief, the “vertical slice” represents “education as usual” – the system as it functions today.

Transformation Zones are used to establish simultaneously new ways of work (the intervention) *and* the capacity to support the new ways of work (an implementation infrastructure to assure effective use of the intervention). By making changes to practices, organizations, and systems in the Transformation Zone, the State Management Team has the opportunity to develop “education as we want it to be,” the system as it will function in the future.

Part of the Installation Stage is to develop a “Transformation Zone” in each State to surface system issues and develop systematic ways of work that support full and effective use of evidence-based programs in classrooms, schools, and districts. To “install” a Transformation Zone requires continuing discussion with the State Management Group, State Transformation Specialists, and Regional Implementation Team members as they are identified and become part of the monthly meetings. The idea of a Transformation Zone is not commonly understood. Thus, the descriptions of the characteristics of a Transformation Zone and the rationales for its importance are repeated frequently as work progresses with a State.

In Illinois discussion about a possible transformation zone led to the idea that the RESPRO (Regional System of Support Providers) may be a vehicle for creating the infrastructure for implementation. There are 10 RESPROs in Illinois and if each RESPRO had three implementation teams, the State saturation point could be reached with 30 Implementation Teams. Establishing Implementation Teams in the RESPROs might provide the flexibility that is needed to be effective while embedding the implementation infrastructure into the educational system so it is not easily expendable.

The RESPRO in central Illinois is within easy driving distance of the Capitol. It includes 108 school districts, 440 schools in 20 cities, served by 10 Regional Offices of Education (ROEs). The Two Rivers Professional Development Center includes 2 ROEs (#48 and #33) and 23 districts with 106 schools. Galesburg and Peoria are the major communities in the Two Rivers catchment area that includes Peoria and Knox counties. The tentative decision has been reached to use the Two Rivers area as the Transformation Zone.

Following this decision, the next steps are to engage the various Two Rivers education groups in the Exploration Stage activities to create two-way communication, buy-in, readiness, and (hopefully) a decision on their part to participate fully in the Transformation Zone activities. The Exploration Stage activities for establishing the Transformation Zone will commence in April with meetings with the top education officials and stakeholders in the Two Rivers area.

□ *Implementation Teams*

The SISEP approach to scaling up innovations begins with a clear understanding that teachers and education staff members who interact with students are the key agents of quality education. This is where “education happens.” Teacher and staff competency to “make education happen” relies upon initial and ongoing teacher preparation and professional development (e.g., selection, training, coaching, performance assessments). The availability of competent teachers and staff relies upon organizational supports (e.g., decision support data systems, facilitative administration, system interventions) that are focused on making effective use of innovations and creating schools as learning organizations. Therefore, scaling up remains focused on assuring that competent teachers are available to provide effective education to students.

How can the implementation capacity to create and support professional development and practice improvement be developed, sustained, and improved over time? The plan is to create a number of Implementation Teams that each concentrate on about 125 schools within a manageable geographic region. The work of an Implementation Team is to assure high-quality supports for teacher preparation and professional development and supportive administrative practices in every school. The goals of Implementation Teams are to provide the infrastructure needed to use best practices in implementation and systems change in order to support the widespread use of

effective educational interventions selected by districts, schools, and communities. The intent is to establish a core infrastructure that can help integrate practice improvement initiatives and that can both take advantage of local and district strengths as well as anticipate and react appropriately to the multiple challenges faced by any scale-up effort.

The number of Implementation Teams that will be needed to establish an adequate implementation infrastructure will range from 10-12 in Oregon (1,265 schools) to about 30-34 in Illinois (4,228 schools). During the Installation Stage, the first Implementation Team is assembled (this has occurred in all four States) and their time is freed up (about 0.50 FTE each) to focus on scaling up activities in the Transformation Zone. Securing the time of the Implementation Team members is completed in one State and in process in three of the States). The next steps are to have each Implementation Team begin to function as a “team” while doing their work in the Transformation Zone. Working as a team requires a common vision, shared goals, frequent communication, duplication of skill sets without duplication of work, and so on. The work in the Transformation Zone will be set up to allow each team to firmly establish their implementation, organization change, and system transformation skills and abilities.

□ *Improvement Cycles*

During the Exploration Stage, SISEP engaged in considerable discussion to make clear that scaling up will require education systems to “make changes that break with the past, operate outside of existing paradigms, and conflict with prevailing values and norms,” while we help them engage in activities that are “emergent, unbounded, and complex” (see www.centerii.org). Three improvement cycles were described to make changes, manage the change process to minimize risk, and seek solutions to the difficult issues facing education.

All three improvement cycles are variations on a theme: the *PDSA change cycle*. Since the time it was invented by scientists at Bell Labs to improve manufacturing processes in the 1920s, the Plan-Do-Study-Act Cycle has been used to make changes and improve practices in a wide variety of business, health, and human service fields. (Deming, 1986; Langley et al., 1996; McCarty et al., 2007 ; Shewhart, 1931; Varkey et al., 2007). This method involves a “trial-and-learning” approach in which the PDSA steps are conducted over iterative cycles designed to discover and solve problems, which eventually leads to exponential improvements. Often, the PDSA cycle is used with situations that occur more frequently so “rapid cycle” problem solving can occur. For example, a teacher can use the results from teaching her last class to improve her teaching methods/curriculum for the next class so the results of her teaching continue to improve to a high and sustainable level. In this version, the teacher can improve every day.

The *PEP-PIP system change cycle* is a variation of the PDSA cycle except it is carried out on a larger scale in a more complex environment (as if a classroom is not complex enough!). In this version, State leaders make Policies that enable innovative

practices to occur in classrooms, schools, and districts (Policy-Enabled-Practice). Federal and State governments make new policies designed to improve practices every year so this is common across all States. What distinguishes successful system change efforts from the many failures that occur in education, health, and human services is the PIP side of the equation. In successful endeavors, there is a systematic method for getting feedback directly and frequently from the practice level to the policy level (Practice-Informed-Policy). This is not commonly found in education or other human service systems. With honest feedback regularly coming back to policy makers, they can make new decisions to hone their policies, change their regulations, and modify the structures, roles, and functions in their bureaucracy to more completely support the improvements they intended to make at the practice level and the outcomes they hoped to achieve.

The third improvement cycle is called *usability testing*. This, too, builds on the basic idea of the PDSA cycle except here the goal is to create a unit that works well. PDSA might be focused on a practice and PEP-PIP might be focused on a particular policy. Usability testing might be focused on how to run a classroom that combines innovative approaches to literacy, numeracy, classroom management, bullying prevention, and drop out prevention in a Response to Intervention (RtI) framework. Or, usability testing might be working out the most effective and cost efficient way to manage a school that is trying to make use of all of those innovations with high degrees of fidelity and demonstrable benefits to all students. Usability testing originally was developed by computer scientists as a very efficient way to develop, test, and refine new software programs or websites, both very complex endeavors. The idea is to use the PDSA thinking with small groups of 4 or 5 typical users (e.g. 4 or 5 schools). Computer scientists found that the first group would surface most of the errors in the first version of the program. Once the errors were corrected, the next group would find different errors. By repeating this process 4 or 5 times (involving about 20 typical users in total), the program would be nearly error free and ready for general use. Thus, usability testing provides a systematic and efficient approach for working out the problems with any education innovation and finding how to make full and effective use of the innovation on a useful scale.

At this point in the Installation Stage, the PEP-PIP cycle is being used in a modest way to get the major components of scaling up in place (e.g. State Management Team, State Transformation Specialists, Transformation Zone, Implementation Team). The PDSA cycle and usability testing have been discussed but no systematic efforts have been made to employ those methods. This will change when we get into the Initial Implementation Stage in the Transformation Zone in the next few months.

Teaching to the Concepts

The Goals List (*Appendix B*) provides an overview of the content of the meetings with the SMT. Advances in implementation science and practice are fairly recent and are poorly understood by professionals in general. The frameworks to create a sufficient foundation to purposefully scale up State capacity to do implementation well are even

more recent developments. Thus, SISEP staff spend considerable time explaining unfamiliar concepts and strategies related to implementation and scaling up so States can make an informed choice to proceed (Exploration Stage) and will have a pretty good idea of the implications for how the State reallocates its resources (Installation Stage). These explanations occur before, during, and after meetings; during car rides to and from activities; and in email and telephone exchanges.

Throughout the Exploration Stage and continuing into the Installation Stage, SISEP staff continually present the scaling up concepts and illustrate them with examples that arise in the course of a variety of interactions with State leaders and others. Some of this is done in a “direct teaching” style as part of a planned PPT presentation or facilitated discussion with State leaders and others. Some of this is done as part of “incidental teaching” interactions where a situation comes up in conversation or discussion and presents a “teachable moment” where the specifics of the conversation can be related to one or more scaling up concepts. For example, in one email exchange we had the opportunity to relate the way one leader had set up a meeting to the concepts inherent in complexity theory:

As you know, Complexity Theory has helped inform our approach to scaling up/system change (e.g. the PEP-PIP improvement cycle). One of the tenets of the theory is the idea of "requisite variety" that says diversity is needed to take on complex issues (meet complexity with variety). You have exemplified this tenet by bringing more "right people" into the mix so we will have "requisite voices" in the room when scaling up/system change decisions are made in the coming months.

In another exchange of emails, we used the incidental teaching strategy to remind leaders of the bigger views of scaling up:

Consider emphasizing the following as part of what you called “Capacity Building at School, District, State”

1. The theme is coherence

a. Policy:

- i. Focus on the core outcomes that should be guiding all efforts (at the school, district, state)*
- ii. Focus on clarity of information across ALL people in the system*

b. Funding Sources

- i. Recognize that organizations have a large number of “initiatives” that will have different funding sources with different expectations.*
- ii. The trick is to avoid simply transferring the multiple expectations to the next level of the organization... if we have the policies well defined, we should be able to braid initiatives around common outcomes.*
- iii. Good administration should result in reduced complexity for those lower in the organization*

c. Implementation contingencies

- i. *Same idea as funding... the focus on “compliance” leads us to create conflicting contingencies, waste resources, decrease effectiveness*
 - ii. *We need to be practical enough to recognize that we must meet compliance standards, but we must ALSO produce functional effects.*
- d. *Evaluation*
 - i. *You have excellent content on this...including the PIP-PEP cycle*
- e. *Content Expertise*
 - i. *There is a strand of implementation science focused on “resource mapping” which emphasizes that unless you have arrayed the resources needed to achieve implementation you do not want to invest in initiating the process. This logic applies not just to funds and materials but to the professional skills of people. Investing in building content expertise (literacy, behavior support) should in most cases precede scaling efforts.*

Teaching to the concepts provides coherent explanations and rationales for the overall scaling approach in a State. Incidental teaching is a way to continually relate the concepts to the specifics of what is going on in a State at the moment, essentially bringing the concepts to life and making them real for State leaders and others. The Installation Stage provides many opportunities for “installing concepts” using these methods.

Another focus is on developing concepts for seeing current activities in the State through an “implementation lens.” *Appendix D* provides a detailed outline of an Implementation Matrix that was used as a foundation for two meetings with State Transformation Specialists and one or more members of the Regional Implementation Teams or State Management Teams. *Appendix E* summarizes our approach to using the Matrix. Using the Implementation Matrix, the goal is to have the people in the State review how implementation activities are currently organized, who does what with whom, how many people at each level work with how many at the next level (the all-important implementation capacity ratios), and so on. In this process, we want individuals in the State to recognize and appreciate what they are doing well and recognize where some weaknesses may lie or omissions may occur. Given the depth and breadth of experience already available in a State, the Matrix-guided discussions were rich discussions full of self-discovery for them and learning for SISEP. We developed common concepts, a common language, and an overall view of what it will take to scale up an evidence-based program and have that program being delivered effectively in 60% or more of the schools in the State.

Creating Competence

Implementation capacity is built by:

- Increasing the knowledge, skills, and abilities of people;
- Assuring the roles and functions of key people are legitimized within the structures of the organization/ system; and
- Arranging routine and longer term sources of funding for the scaling up capacity.

Currently, implementation capacity exists as a “ghost system:”

- The work is done somehow or the other,
- By individuals who evolved into roles that are poorly understood, and
- Are funded as an afterthought.

The goal is to develop a “host system,” an infrastructure to support effective implementation of evidence-based practices and other innovations. In a host system, the implementation infrastructure will be accepted and supported in the same way State systems support their financial accounting infrastructure.

The process of building on the strengths of the individuals and structures already available in each State has just begun. The kick off event for creating competence was the Scaling Up and Implementation Institute held in Chapel Hill in March 2009. The Table of Contents of the handbook for the Institute is provided in *Appendix F*. The purpose of the Institute was to create a common understanding of scaling up and capacity building and to create relationships among the State Transformation Specialists and Regional Implementation Team members within and across States. This is the beginning of creating competence and the beginning of creating a community of practice where individuals eventually will come to rely upon each other for sustained capacity building and SISEP can step out of the process.

Conclusion

The Installation Stage should be complete by June 2009. Beginning in September 2008, it appears that it has taken about 10 months to establish the context, develop the content, and begin the process of establishing competence among all the key individuals involved in the complex tasks of preparing to scale up evidence-based programs in education. Given the non-linear nature of the Implementation Stages, we fully expect to continue re-visiting the fundamental rationales, building support, and re-establishing buy-in (Exploration Stage activities) and repeatedly returning to the resource issues (Installation Stage activities) as conditions continue to change in State and federal systems of education.

Appendix A

The emails sent to each State to initiate Installation Stage activities.

VISIT #1

Dear _____,

We need to hold our first SISEP meeting in _____ sometime soon. We would like to book two days for the first visit to accomplish two things (in any order):

1. Meet with the State Management Group to quickly review the overall plan, discuss the process for selecting the 2 FTE (I know you already are one; we will need another), and discuss the process for selecting the first 3 FTE members of first Regional Implementation Team. We will need one hour on their agenda for these items.
2. The rest of the time we want to meet with the leadership of the EBP group to get a feel for their overall approach to implementation, visit some nearby schools implementing the EBP so we can talk to folks on the receiving end of implementation efforts, and work out a plan for future visits so we can sample systematically the selection, training, coaching, and fidelity assessment activities and sample meetings where new districts/ schools/ teachers are being introduced to the idea of implementing PBS (e.g. sample the activities involved in the Exploration Stage of implementation).

We would like to have you with us for the entire two days so we can begin to develop our ways of working together. Likely, we will have monthly on-site meetings with lots of things to do between meetings to get you into your new role with SISEP and the State. This will be an important step in developing State capacity for implementation.

Thanks,

Beth-

We are simple people, so on this first visit we would like to accomplish two things (in any order):

1. Meet with the State Management Group to: a) quickly review the overall plan, b) discuss the process for selecting the 2 FTE (I know you already are one; we will need another), c) discuss the process for selecting the first 3 FTE members of first Regional Implementation Team, and d) plan our monthly meetings. We will need one hour on their agenda for these items.
2. The rest of the time we want to meet with the leadership of the MiBLSi group to get a feel for their overall approach to implementation, visit some nearby schools implementing PBS so we can talk to folks on the receiving end of implementation efforts, and work out a plan for future visits so we can sample systematically the

selection, training, coaching, and fidelity assessment activities and sample meetings where new districts/ schools/ teachers are being introduced to the idea of implementing MiBLSi (e.g. sample the activities involved in the Exploration Stage of implementation).

We would like to have you with us for the entire two days so we can begin to develop our ways of working together. The hour with the State Leadership group may be most difficult given their schedules but we are open to an early or late meeting as well as during the day.

During our time with MiBLSi we want to share the overall idea and involve them in thinking about what this means for their work in MI. We also want to go visit some nearby schools where MiBLSi is in use to hear their stories about start up and current functioning. We will be doing a lot more of the on-site visits over the next 3 months so we need to establish a routine around this and have a better idea of what to look for re: implementation and school changes.

So, we have no set schedule in mind. You know the people and schedules way better than we do so we will leave the particulars up to you. This is the first "SISEP visit" so mostly we want to have folks feel comfortable, answer any questions they may have, and begin the process as we find openings.

THANKS for all your help with this!
Dean

VISIT #2

Dear _____,

We still need to pursue the agenda outlined below:

1. Identify the second State Transformation Specialist
2. Spend time with the MiBLSi folks who are actually doing the implementation work in the State (getting schools ready, doing staff training and coaching, doing evaluation work, etc)
3. Identify at least 3 members for the first RIT
4. Establish a standard time for our monthly visits to MI (meet with the State Management Group, do our capacity building work)

Thanks,
Dean

VISIT #3

Nancy and friends-

The next visit to OR is scheduled for January 5-6, 2009. For the State Management Team, we want to continue to pursue the goals (attached):

1. Review progress re: recruiting/ hiring the second State Transformation Specialist (Gen Ed)
2. Review progress toward recruiting/ organizing the N=9 members of the first Implementation Team
3. Briefly discuss the Implementation Institute in Chapel Hill in March (and let them know SISEP will pay the expenses)
4. Discuss any thoughts the group has re: Scaling Up, my choices in clothing, or anything

else

For the rest of our time, we need to review current implementation activities in OR using the attached template as a guide for the discussion. Michelle and I really need to understand how the current implementation work is being done so let's plan to use all our time outside the State Management meeting for this purpose. Feel free to include any/ all others that you want to contribute to this discussion.

APPENDIX B

State Implementation and Scaling up of Evidence-based Practices Goals for 2008-2009

September – December 2008

To Do:

- Develop a solid working relationship with the State Management Group in each State.
- “Hire” two State Transformation Specialists in each State.
- Begin the education/preparation process for the State Transformation Specialists.
- Conduct an in-depth analysis of the current implementation efforts and individuals in each State.
- “Hire” 3 to 9 individuals to be members of the first Regional Implementation Team in each State.
- Hold a meeting of all 8 State Transformation Specialists in December 2008 (add a day to the Monaco Meeting in Portland).
- Develop a measure of system functioning that can be used to track progress as the infrastructure for implementation is established and scaled up in each State.
- Develop a trip-reporting system to accumulate information on what we do, what State personnel do, the facilitators and barriers to progress, and progress being made each month.

January – June 2009

To Do:

- Establish the first Regional Implementation Team (RIT) in each State (e.g. training, coaching, performance assessments, organization supports, system supports)
- Establish a functional PEP-PIP improvement cycle in each State
- Conduct the first Implementation Training Institute (all RIT Members and all 8 State Transformation Specialists) in March 2008
- Hold a meeting of “Assistant Directors of Education” from the four States in early 2008
- Apply a measure of system functioning to track progress as the infrastructure for implementation is established and scaled up in each State.
- Fully use a trip-reporting system to accumulate information on what we do, what State personnel do, the facilitators and barriers to progress, and progress being made each month.

Hold the first Scaling Up Institute in 2009 (add a day to the Project Directors Conference for all interested States)

APPENDIX C

Transformation Specialist

Position Description DRAFT 09-10-08

State Implementation and Scaling up of Evidence-based Practices

"The [Transformation Specialist] who treads in the deep waters of implementation needs a daunting range of attributes spanning policy formulation, ... tact and diplomacy (lots!), management awareness, training skills, political awareness, practice skills, and committee and consultancy skills." Hollin & McMurrin (2001; p xvii)

Bringing about change in complex systems is enormously challenging, and the use of Transformation Specialists can help policy makers do this successfully.

Qualifications

A Transformation Specialist is a person with extensive preparation and:

- Systems change expertise
- Administrative experience
- Implementation expertise

A Transformation Specialist has access to all organizational units needed for effective decision-making. A Transformation Specialist:

- Is highly placed to have access to the people needed for decision making
- Has budget authority
- Has access to relevant data

A Transformation Specialist has professional knowledge and experience:

- Demonstrated ability to provide professional mentoring in content areas related to the goals for the intended beneficiaries of the system
- Demonstrated experience representing systems change efforts with professional and political groups

The core features of a person in this role include:

- Credibility and effectiveness with the practice(s) being scaled
 - Documented expertise in the core conceptual theory
 - Demonstrated success implementing the practice personally
 - Demonstrated success leading/coaching/supporting others to implement the practice with fidelity and impact
- Credibility and effectiveness in guiding and leading change initiatives

- Experience as a leader or member of a change team
- Expertise in guiding change initiatives
- Knowledge of local context
 - Demonstrated knowledge of state-level challenges and strengths.
 - Ability to describe decision-making process within the state and/or districts.
 - Ability to describe funding decisions/model within the state and/or districts

Leadership

A Transformation Specialist is an individual who leads transformation of practices, organizations, and systems. In this context, transformation means planned change from the current state to a future state where the future state is emerging and is not clearly defined. A Transformation Specialist:

- Integrates the perspectives and requirements of program developers and the users and provides the bridge between the policy, practice, science, and community
- Has administrative decision making authority; is directly linked with major stakeholders and policy makers associated with a variety of practices/ programs; and has a team that can coordinate, guide, and evaluate the systems change effort
- Promotes quality standards and accountability for continuous improvement and to demonstrate positive outcomes
- Brokers and leverages resources by increasing the efficiency and impact of service providers and attracting resources that individual organizations often cannot secure on their own
- Promotes effective policies that can strengthen local organizations and result in more effective services for young people and families

Professionalism

A Transformation Specialist presents well professionally in terms of social skills, confidentiality, engagement, and respect for the opinions and cultures of others. A Transformation Specialist:

- Is prepared to interact successfully with a wide range of stakeholders representing the diversity of perspectives, cultures and interests in any community
- Has the ability to solicit, accept and provide feedback that may be educational or celebratory

Facilitation, Conflict Resolution, and Consensus Building

A Transformation Specialist:

- Is proficient in a number of facilitation roles necessary to effect system change, reconcile differences of opinion, acknowledge and resolve conflict, and strengthen or build consensus
- Is skillful at preparing for, organizing, chairing, and documenting meetings
- Connects individuals and groups with one another and with new ideas

- Is skilled at engaging, convening, and supporting critical constituencies to increase public involvement, design new initiatives, strengthen local institutions, and achieve tangible results

Problem-Solving Processes

Transformation Specialists are prepared to deal with "wicked" problems that cannot be definitively described; there is no objective definition of public good; policies that respond to social problems cannot be meaningfully correct or false; and it makes no sense to talk about "optimal solutions" because there are no "solutions" in the sense of definitive answers to social and educational issues.

- Competence (knowledge, skills, and attitudes) is augmented by capability (the ability to adapt to change, generate new knowledge, and continuously improve performance).
- Create systems that are able to learn from their own experience, and to modify their structure and design to reflect that they have learned.
- Create systems where diversity and flexibility exist in the organization (redundancy, slack, excess capacity, potentiality) and staff and organizational elements are multi-skilled, interchangeable, and systematically allow for errors arising in other parts of the system.
- Variety and the ability to act needs to exist at the front lines where the real problems occur in real time.
- Ability for the system to monitor and question the context in which it is operating and to question the rules that underlie its own operation.
- Employs “usability testing” and the plan-do-study-act (PDSA) trial-and-learning cycle to guide decisions (i.e. search for information, make a decision and develop a plan, carry out the decision, pause to reflect on the process and outcomes, then another active period of search in an iterative process as decisions are made, experience is gained, and new problems are encountered)
- The plan-do-study-act (PDSA) cycle is played out in *transformation zones*, smaller, representative portions of the whole that provide enough breadth to ensure a good test of an innovation while limiting the damage of mistakes and wrong turns that surely will occur in such complex environments.
- Evaluation competence
 - Demonstrated experience in the design of educational evaluation
 - Demonstrated expertise in use of data for decision-making

Conceptual Feedback

The Transformation Specialist will learn to recognize opportunities to provide “educational praise/recognition” to partners and stakeholders and how to raise concerns in a non-judgmental and clear manner that will foster problem resolution. The Transformation Specialist also will work with us as a learning partner to help identify and define the relevant concepts related to transformation, systems evolution and the implementation of an evidence-based culture and evidence-based programs and practices. The feedback process is one of using inductive and deductive approaches and using meaningful rationales, specific examples related to the concept and creating plans for the

future. Below are the acronym and the process, briefly. Lecture and behavior rehearsals will be used during training.

A Transformation Specialist is one skilled at:

- 1) Getting science right and ensuring technical excellence.
Before embarking on large-scale expansion, all technical policies and detailed training modules for every level of staff were written, extensively revised, field tested over a period of several years, finalized, and disseminated widely.
- 2) Building commitment and ensuring the provision of funds and flexibility in their utilization.
Top leadership commitment is the engine that drives any program. Commitment to any program waxes and wanes. Starting with a coherent policy basis and effective pilot program, a project must gain the support of widening and successive groups of policy holders.
- 3) Maintaining focus and priorities.
"Only by focus and prioritization can success be achieved."
- 4) Systematically appraising each area before starting service delivery.
The appraisal process serves as a quality control mechanism for the program by ensuring that each region meets a minimum standard before starting service delivery.
- 5) Strengthening the established infrastructure and providing support for staff.
Regular interaction among all levels of staff leads to the creation of a large body of highly skilled, motivated and accountable workers.
- 6) Supporting the infrastructure required in urban areas.
Staff have been specifically provided to areas lacking an effective infrastructure. The state and regional organizations make decisions on budget formation, hire staff, purchase whatever items are necessary, oversee program planning, implementation and monitoring, and perform other functions.
- 7) Ensuring full-time independent technical support and supervision, particularly during the initial phases of implementation.
Outside experts begin the processes of hiring, training and deploying staff
- 8) Monitoring intensively and giving timely feedback.
Intensive monitoring and supervision of all aspects of the program at every level is essential.
- 9) Continuous supervision.
Supervise, supervise, and supervise. "What gets supervised gets done." Effective coaching and supervision at all levels is necessary in order to have a successful program.

Reference:

Hollin, C., & McMurrin, M. (2001). Series editors' preface.

In G. A. Bernfeld, D. P. Farrington & A. W. Leschied (Eds.),
Offender rehabilitation in practice: Implementing and evaluating effective programs
(pp. xv-xviii). London: Wiley.

APPENDIX D

SISEP State Implementation Analyses

National Implementation Research Network
DRAFT September 5, 2008

This template is designed to assess the initial and on-going features of implementation as currently practiced in a State. As implementation capacity is developed, the template can be used to assess current functioning of Regional Implementation Teams.

	Selecti on	Traini ng	Coachi ng	Perfor m. Assess .	DSD S	Facilitati ve Admin.	Syste m Interv .	Leaders hip
Teachers/ Staff								
Trainers								
Coaches								
Administrat ors								
School Leaders								
District Leaders								
State Leaders								

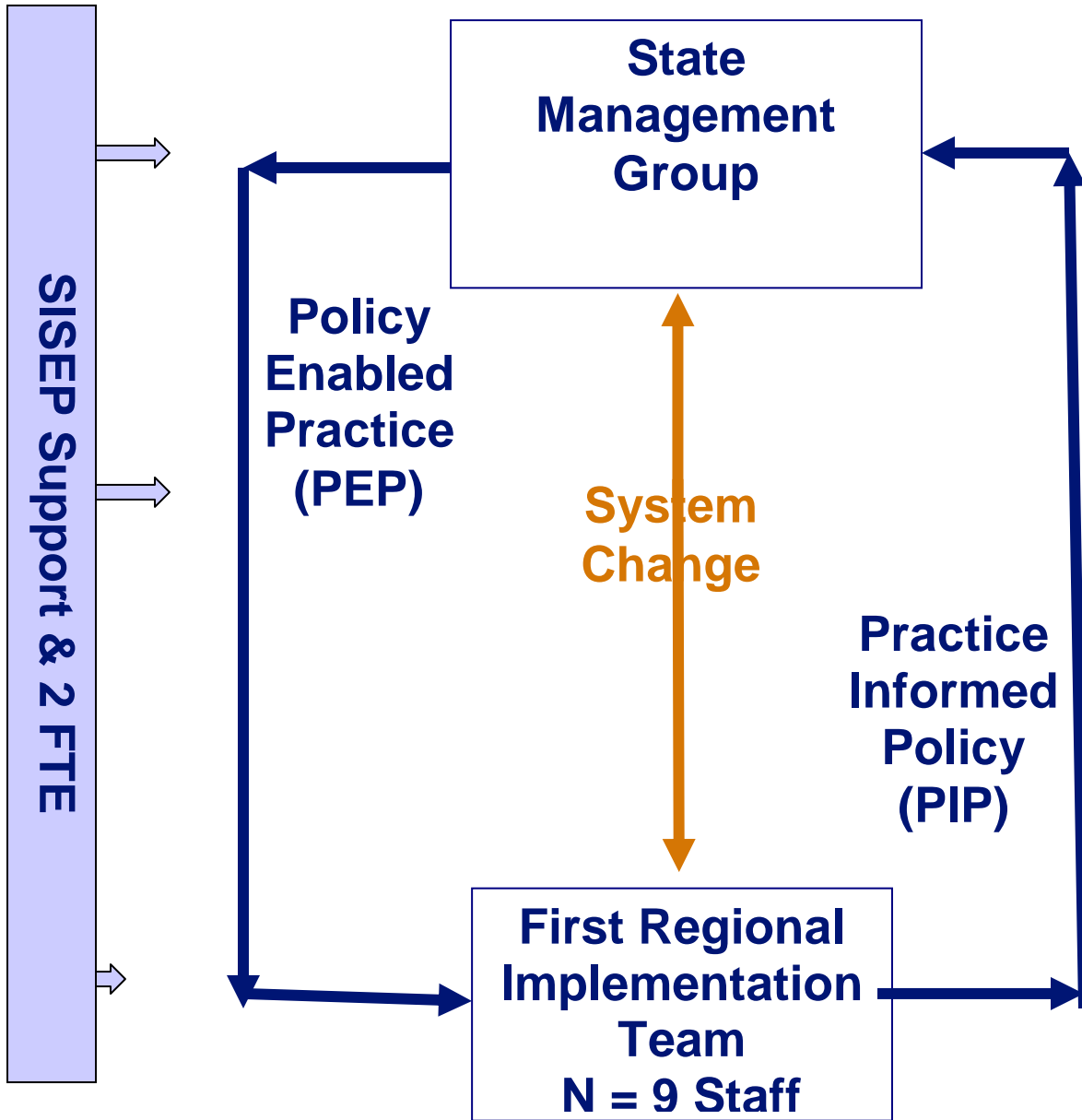
This outline will be used to guide our discussions with the individuals currently involved in implementation in the State. The purpose is to quickly discover the extent of current implementation efforts and determine the who, what, when, where, and how for each component listed above. In this way, the State Implementation and Scaling up of Evidence-based Practices (SISEP) team can capitalize on existing strengths and individualize its work in the State.

The information gleaned from this assessment will be used to inform the State Management Group as they make plans for resources needed to form the first Regional Implementation Team in January 2009.

As the Regional Implementation Team begins to function, the outline above will help to benchmark progress toward the development of implementation capacity in the State.

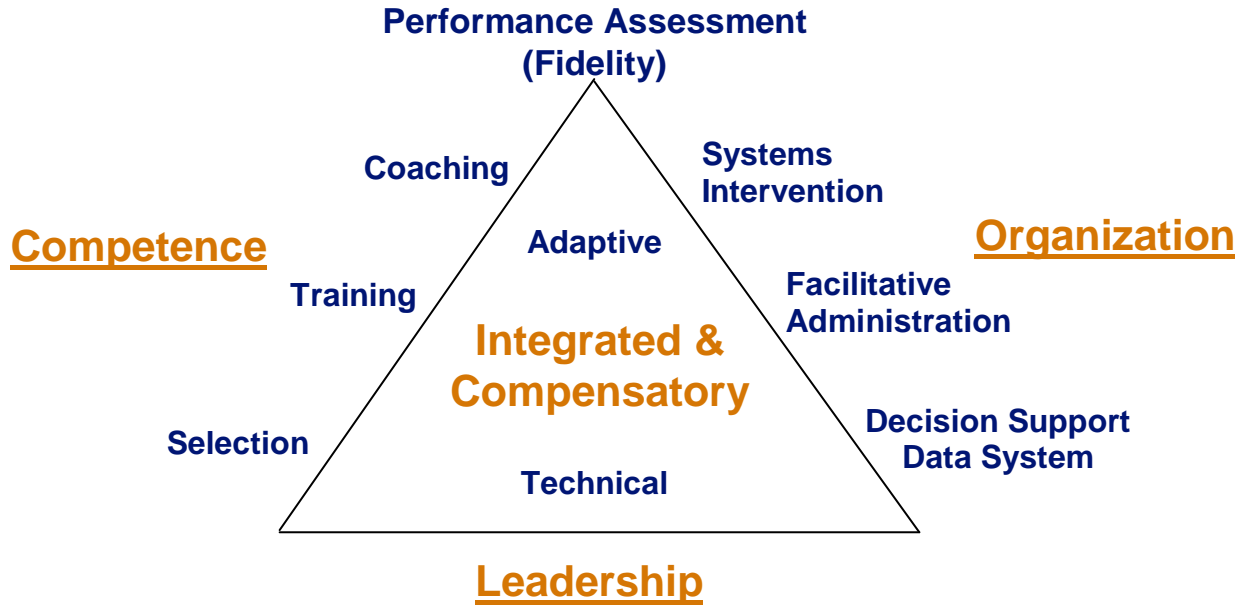
State Implementation Capacity Development

Continuous Improvement Cycle



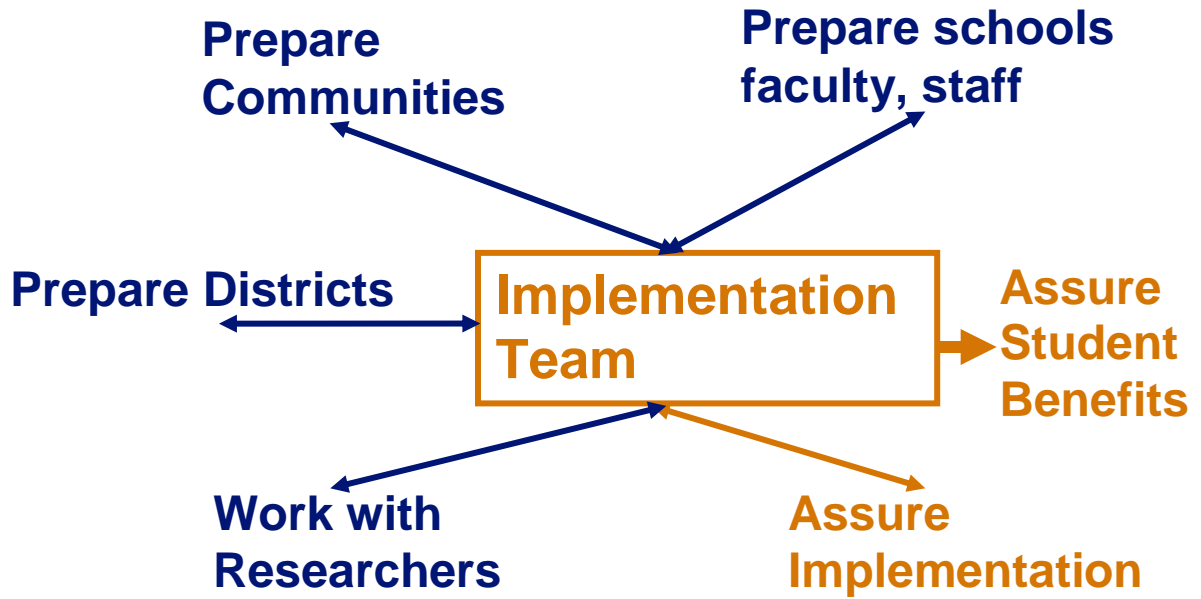
State Implementation Capacity Development

- A) Reliably produce B) predictable outcomes for students, families, and communities**
- C) that improve every year D) for the next 50 years**



State Implementation Capacity Development

Regional Implementation Teams



State Implementation Capacity Development

Assessment of Implementation Components

#1	Selecti on	Traini ng	Coachi ng	Perfor m. Assess.	DSD S	Facilitati ve Admin.	Syste m Inter v.	Leaders hip
Teache rs/ Staff								
Who	WHO does the work? For example, provide the name(s) of the person(s) who conducted the past 10 Selection interviews, provided Training for teachers/ staff, etc in the past 6 months							
What	WHAT was done? For example, the advertising/ selection process, schedule of training events, etc. for teachers/ staff for the past 6 months. This question focuses more on the content of training, decision support data systems, etc.							
When	WHEN was the work done? For example, is training provided every quarter or just prior to a teacher going into a classroom?							
Where	WHERE is the work done? For example, is coaching done in the classroom/ school or at another location, or via phone and email?							
How	HOW was the work done? For example, training might consist of brief lectures, demonstrations, and behavior rehearsals to criteria. This question focuses more on the processes and methods used to do the work.							
NOTES	Make notes about how the parts do/ should interact with one another; facilitators and barriers that arise in the conversation; and anything else that seems to impact on carrying out the key implementation functions related to the topic area (i.e. Teachers/ Staff in this example).							

In the course of the discussion, ask for examples of protocols, schedules, and so on. At this point, we do not need reams of backup material (e.g. a whole manual) but do need indicators of that help to give more context/ content to the who, what, when, where, and how questions (e.g. a schedule of trainer preparation events with the names of those doing the preparation work listed for each section).

#2	Selecti on	Traini ng	Coachi ng	Perfor m. Assess.	DSD S	Facilitati ve Admin.	Syste m Inter v.	Leadersh ip
Traine rs								
Who	WHO does the work? For example, provide the name(s) of the person(s) who conducted the past 10 Selection interviews, provided Training for trainers, etc in the past 6 months							
What	WHAT was done? For example, the advertising/ selection process, schedule of training events, etc. for trainers for the past 6 months. This question focuses more on the content of training, decision support data systems, etc.							
When	WHEN was the work done? For example, is training provided on an annual schedule or just prior to a trainer preparing to do his/her first training of teachers/ staff?							
Where	WHERE is the work done? For example, is coaching done in the training sessions or at another location, or via phone and email?							
How	HOW was the work done? For example, training of trainers might consist of reviews of the materials or practice sessions to criteria. This question focuses more on the processes and methods used to do the work.							
NOTE S	Make notes about how the parts do/ should interact with one another; facilitators and barriers that arise in the conversation; and anything else that seems to impact on carrying out the key implementation functions related to the topic area (i.e. training trainers in this example).							

APPENDIX E

Matrix Movement

State Implementation and Scaling up of Evidence-based Practices January 2009

With the implementation X staffing *matrix as a guide for the interviewer/ facilitator* (those present may or may not have ever seen it):

1. Describe the overall idea – to scale up evidence-based programs in the State means that *we (SISEP) need to understand what the current implementation activities are in the State.*
2. On a flip chart page, put Schools/ Teachers at the bottom and SMT (State Management Team) at the top.
3. Then begin asking questions – who helps the teacher and school administrators learn _____ (the evidence-based program)? Try to get some idea if this is a person or a group of some kind. What do they call this person/ group? Write it on the flip chart above School/ Teacher. TIP: If the State is implementing/scalling more than one EBP, do a separate chart for each.
4. Then ask who helps those folks learn their roles and functions? Try to get some idea if this is a person or a group of some kind. What do they call this person/ group? Write it on the flip chart above the last person/ group.
5. Repeat this process until you reach the person who is in charge of all the *implementation* activities and reports to the SMT or State contract manager.
6. Then review each level and ask how many people there are in the State doing the work at each level. If they don't know, ask them to make their best guess. Get some idea of the depth of talent that might be available.
7. Then, compute the ratio for each level – “OK, so it looks like the 10 Regional Consultants work with 120 District Consultants. This is a ratio of 1: 10 – does that sound about right?” The goal is to have some idea, not be deadly accurate so go with the flow. TIP: It is helpful to add the discussion point of thinking out into the future and give an example from their ratios.
8. Then ask them which level they would like to think of when we are discussing developing competence, organization supports, and leadership (Implementation Drivers). Whatever they choose is fine. If it is a level that actually is in place or one they are planning to put in place is fine. If they change their mind, that is fine too. The goal is to have them begin to understand the operational definitions of the Drivers and their applications in their real life circumstances.
9. Then begin going through the Drivers one by one, starting with Selection.
 - a. So, where do you find these folks? Where do they come from? Who decides, how do they decide? What have you learned about good/ poor selection choices so far?

- b. Then what happens – how are people prepared to do what you want them to do? Is this an organized training experience? Who provides training? How do they get to be trainers? How do you know if a person learned anything or not during training?
 - c. OK, who helps the person learn on the job? Is there a supervisor or coach who knows the _____ (innovation) well? How often do they meet? Where do the coaches come from? How do you know if coaches are doing a good job or not?
 - d. Keep going until you have gone through each of the Drivers.
 - e. See the Measures of Implementation items for hints about what to ask.
 - f. Do not press too hard for answers. Be encouraging. Use humor.
 - g. Do not point out or give any feedback on obvious errors or omissions.
 - h. Do take advantages of opportunities to (briefly) teach concepts re: best practices and integration/ compensatory notions during the discussions.
 - i. Do admire and acknowledge the obvious usefulness of what they are doing—it is working for them after all.
10. It may take an hour or two to go through the Drivers for one level of their implementation organization. We have yet to do two levels although we have done two versions – one version for evidence-based program #1 and another version for evidence-based program #2 with a different level as the focus for each discussion. The purpose is not to be so complete or detailed about this but to use the discussion to create teaching and learning opportunities. This really helps teams recognize what drivers are missing.
11. Teaching goals:
- a. What the Drivers are and why they are important and how they currently are used in the State (or not).
 - b. Ratios at each level – how many of these will we need to cover all NNN schools in the State? Get them to see that what they are doing currently will need to be done XXX more times to have the implementation capacity to cover the entire State.
 - c. If there are 4 levels, each level can be a big success at 80% effectiveness yet the overall system can fail ($.8 \times .8 \times .8 \times .8 = .41 = 41\%$ outcome). That is why the improvement cycles are such an important part of Implementation Teams and scaling up, to help assure system success as well as component success. Work in the ideas of feedforward and feedback, PDSA, PEP-PIP, usability testing as opportunities arise.
 - d. This cannot be person dependent if we are to do XXX of these well for the next 50 years.
 - e. If you need to do this XXX more times in the State, where will this be lodged in the State education system and how will it be supported like accounting and information technology are supported from one generation of leaders to the next? Get them thinking past the ghost system and more about the host system.
 - f. Let them discover what is present/ missing/ needs work in their current implementation strategies/ activities.

- g. We are always doing two things: doing the work and building the capacity to do the work on a broader scale in the future (always thinking one up, one down, and five out = how does this interact with the next levels up and down, and what do we need to do now to allow this to be scaled up within 5 years). What does this mean for _____ (any Driver)?
12. So far, each of the 3 States have engaged in a lively discussion of what they do well/ poorly/ not at all; facilitators and barriers; person dependence; what to do to fill some of the holes;
13. Encourage the STS and the Implementation Team members to do the other levels they outlined on the flip chart. We have just modeled the process and now they can try it on their own. If they have problems, call or email or wait till next month and we will have another go at it. **This gives them a reason to meet in our absence and something to do before we show up next month.**

Intended audience: *members of the state management team, state transformation specialists, members of the regional implementation team and lead personnel representing the EBP (s) that are being scaled up.*

Materials Needed:

- Flip chart paper (or white board if paper not available)
- Markers
- Copies of Martrix
- Mongraph (optional)

APPENDIX F

Scaling Up and Implementation Institute March 2009

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