A R K A N S A S

D E P A R T M E N T   O F   E D U C A T I O N
S P E C I A L   E D U C A T I O N   U N I T

PART B
INDICATOR 17: STATE
SYSTEMIC IMPROVEMENT
PLAN PHASE III
FFY 2015-16

Submitted April 3, 2017

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Introduction to Arkansas's Phase III

An acronym identification chart can be found in Appendix I

On October 1 2016, 477,268 students were enrolled in Arkansas public schools, grades K-12 (including charter schools). According to the December 1, 2016, special education child count for grades K-12, 60,002 students were eligible for special education services (12.57% of the K-12 student population). Students in K-12 education are served by 262 local education agencies (LEAs) including charter schools. Additionally, there are 15 regionally based Education Service Cooperatives (ESCs) (see Exhibit I-17.1) that support LEAs in (1) meeting or exceeding State Standards and equalizing educational opportunities; (2) more effectively using educational resources through cooperation among school districts; and (3) promoting coordination between school districts and the Arkansas Department of Education (ADE).

Exhibit I-17.1: Arkansas School Districts and Educational Service Cooperatives

A Commissioner of Education leads the Arkansas Department of Education (ADE) with support from a Deputy Commissioner. There are five main divisions within the ADE: Fiscal and Administrative Services, Educator Effectiveness and Licensure, Research and Technology, Public School Accountability, and Learning Services. The ADE-Special Education Unit (ADE-SEU) is under the Division of Learning Services. The ADE Organizational Chart is presented in Exhibit I-17.2.

Exhibit I-17.2: ADE Organizational Chart

ADE Acronym Translator:
https://adedatabeta.arkansas.gov/aat
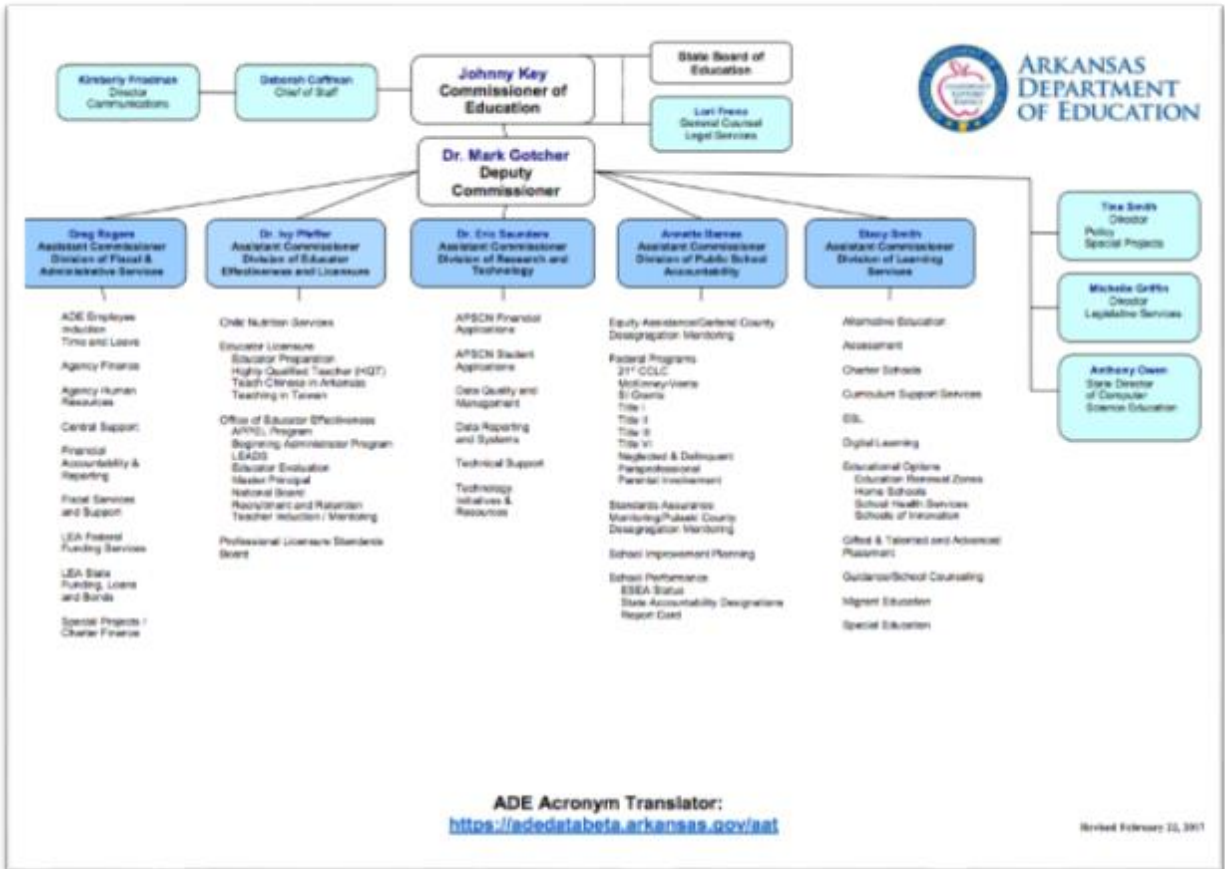
The ADE State Systemic Improvement Plan (SSIP) focuses on increasing the literacy achievement of students with disabilities (SWD) in third through fifth grade. Phase I of the SSIP focused on an extensive data and an infrastructure analysis in collaboration with multiple internal and external stakeholders in order to identify the focus on literacy. Phase II used the Phase I analysis to guide the development of implementation and evaluation plans.

In Phase III, the ADE has implemented two strategies to improve the infrastructure of the ADE and LEAs in order to increase the State-identified Measurable Result (SIMR) - *The percent of student with disabilities in grades 3- 5 who made gains towards reaching a proficient score or maintained a proficient score on the statewide literacy assessment*.

Component - Baseline and Targets

Baseline Data - Percent of SWD in grades 3- 5 who made gains towards reaching a proficient score or maintained proficient score on the statewide literacy assessment.

FFY	2013	2014
Data	45.65%	44.00%

FFY 2015 – FFY 2018 Targets: Percent of SWD in grades 3- 5 who made gains towards reaching a proficient score or maintained proficient score on the statewide literacy assessment.

FFY	2015	2016	2017	2018
Target	45.60	47.20%	48.80%	50.40%

Justification for Baseline and Target Changes
Arkansas is not changing the baseline or targets at this time. However, Arkansas changed the assessment in FFY 2015 from PARCC and NCSC to ACT Aspire and NCSC/MSAA. The same assessments are being used in FFY 2016 which will allow Arkansas to establish a two-year growth baseline for the submission of the FFY 2016 APR.

The number of schools being served as part of the SSIP has been expanded to twenty-one elementary schools in four districts. Two of districts are located in the central region of the state, one is in the northeast Mississippi Delta, and one in the southeast Mississippi Delta.

Description of Measurement

Justification for Baseline and Target Changes
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Description of Measurement

Description of Measure
Percent of students with disabilities (SWD) in grades 3- 5, from the targeted schools, who made gains toward reaching a proficient score or maintained a proficient score on the statewide literacy assessment.

Measurement Calculation: Current Year Data

A. Number of SWD who had valid assessment results for current and previous year	442
B. Number of SWD who made gains toward proficiency reaching a level nearer to proficient	268
C. Number of SWD who made gains toward proficiency and reached a level of proficient	16
D. Number of SWD who were proficient in the previous year and maintained their level of proficiency	11
Percent of SWD in grades 3- 5 who made gains towards reaching a proficient score or maintained proficient score on the statewide literacy assessment = ((B+ C+D)/A)*100	66.74%

Number of SWD who had valid assessment results for current and previous year (A)	Number of SWD who made gains or reached proficiency (B+C+D)	Percent of SWD in grades 3- 5 who made gains towards reaching a proficient score or maintained proficient score on the statewide literacy assessment	FFY 2015 Target	Target Met
442	295	66.74%	45.60%	Y

The baseline and the targets were based on a regular assessment no longer given and NCSC/MSAA. Even with a change of assessments in FFY 2014 and again in FFY 2015, students with disabilities in the buildings being served through the SPDG and SSIP saw movement towards reaching a proficient score or maintaining a proficient score in literacy (RLA). These students exceeded the target of 45.60% by 21.14 percentage points. Arkansas does not expect to see this type of gain for the FFY 2016 SSIP since the assessments would have been the same for the two consecutive years.

Background
In the past, Arkansas established annual improvement gains in student scale scores. The gain index per student growth was based upon changes in a student's performance level, across two years, on tests included in the Arkansas Comprehensive Testing, Assessment and Accountability Program (ACTAAP)

For the purpose of the SSIP, Arkansas is using a modified version of the gain index. The modifications include the use of the alternate assessment and five gain index categories instead of eight. To measure gains the proficiency levels of the regular and alternate were split into subcategories. The sub-categories allow a more discrete look at student achievement and assess whether gains are being made even if a student has not reached a level classified as proficient. Exhibit I-17.3 illustrates the gain index categories from the ACTAAP assessment levels.

Exhibit I-17.3: Gain Index Categories Aligned to ACTAAP Assessment Levels.

Regular Assessment Levels	Alternate Assessment Levels	Gain Index Categories	
Below Basic (BB)	Not Emerging & Emerging	BB1 (1)	BB2 (2)
Basic (Bas)	Substantial Independent	Bas1 (3)	Bas2 (4)
Proficient (Prof)	Functional Independent	Prof+ (5)	
Advanced (Adv)	Independent		

Methodology

To measure changes in student achievement for Grade 3-5, a gain index is computed using the literacy scale scores of the statewide assessment. Each student's scale score is placed into one of the gain index categories for each year. If the Gain Index Category changes from one year to the next, movement can be determined. For example, a student in the fourth grade will have his/her fourth grade literacy score gain index matched to his third grade literacy score gain index. The analysis only applies to students who are in the participating districts for both years and took the same type of assessment (regular assessment vs. alternate assessment).

Data sources for calculating the gain index include the previous year assessment scale scores for SWD in grades 3-5 and current year assessment scale scores for grades 4-6. While the focus of the SSIP is on grades 3-5, it is important to have the grade 6 scale scores to match back to the fifth grade scores. During the data analysis work, the State found a drop in literacy scores between fifth and sixth grade; measuring the gain index between fifth and sixth provides insight on the strategies being implemented.

Once student assessment results for the two years are matched, each scale score is assigned to a sub-category with a gain index of 1-5. The subcategorizations are presented in Exhibit I-17.4: *Score Range for Student Performance Subcategories in Grades 3-8 for Regular Assessment* and Exhibit I-17.5: *Score Range for Student Performance Subcategories in Grades 3-8 for Alternate Assessment.*

Exhibit I-17.4: Score Range for Student Performance Subcategories in Grades 3-8 for Regular Assessment

Scale Score Performance: Sub-Categories for Literacy Regular Assessment						
Grade	Subject	BB1 (1)	BB2 (2)	Bas1 (3)	Bas2 (4)	Prof+ (5)
3	RLA	400-407	408-415	416-416	417-418	>419
4	RLA	400-408	409-417	418-418	419-420	> 421
5	RLA	400-408	409-417	418-419	420-421	> 422
6	RLA	400-409	410-418	419-420	421-422	>423

Exhibit I-17.5: Score Range for Student Performance Subcategories in Grades 3-8 for Alternate Assessment

Grade	Subject	BB1 (1)	BB2 (2)	Bas1 (3)	Bas2 (4)	Prof+ (5)
Scale Score Performance: Sub-Categories Literacy for Alternate Assessment						
3	RLA	1200 to 1216	1217 to 1233	1234 to 1235	1236 to 1239	>1240
4	RLA	1200 to 1216	1217 to 1233	1234 to 1235	1236 to 1239	>1240
5	RLA	1200 to 1215	1216 to 1231	1232 to 1234	1235 to 1239	>1240
6	RLA	1200 to 1215	1216 to 1230	1231 to 1234	1235 to 1239	>1240

The difference between the previous year subcategory and the current year subcategory determines in which measurement category (Indicator 17: B-D) a student is counted. Exhibit I-17.6 is a crosstab of the two years and the measurement categories for calculating the SIMR. The red text in Exhibit I-17.6 illustrates a student who had a gain index of 2 in the previous year and a gain index of 3 in the current year is counted in section B of the measurement calculation.

Exhibit I-17.6: Example of Data Categorization

		Current Year Subcategory: Gain Index				
		1	2	3	4	5
	1	-	B	B	B	C
Previous Year Subcategory: Gain Index	2	-	-	B	B	C
	3	-	-	-	B	C
	4	-	-	-	-	C
	5	-	-	-	-	D

For further clarification, Exhibit I-17.7 provides an example of matched student data and how a student's measurement classification is determined between the two years.

Example: **Student A** had a previous year rating of 2 which is the subcategory of *below basic 2* or BB2. In the most recent assessment results **Student A** had a rating of 4 or *basic 2* (Bas2) showing a gain of two sub-categories. While the student did not reach proficiency he/she did make gains and would be counted in B of the calculation (see Exhibit I-17.8)

Exhibit I-17.7: Sample Student Data

Student	Previous Year Rating	Current Year Rating	Calculation Category
A	2	4	B
B	3	5	C
C	5	3	-
D	3	3	-
E	5	5	D
F	5	5	D
G	4	5	C
H	5	4	-
I	1	1	-
J	1	1	-
K	2	2	-
L	2	2	-

Using the sample data from Exhibit I-17.7 to calculate the actual rate of gains for students in grades 3-5 the following elements, as seen in Exhibit I-17.8, will need to be compiled from the final matched data set.

Exhibit I-17.8: Example of Calculation using Data from Exhibit 5

A. Number of SWD who had valid assessment results for current and previous year	12
B. Number of SWD who made gains toward proficiency reaching a level nearer to proficient	1
C. Number of SWD who made gains toward proficiency and reached a level of proficient	2
D. Number of SWD who was proficient in the previous year and maintained their level of proficient level	2

In the example above, 41.67% $(((1+2+2)/12)*100)$ of SWD grades 3- 5 in targeted schools made gains towards reaching a proficient score or maintained a proficient score on the statewide literacy assessment.

Targets: Description of Stakeholder Input

In establishing the targets for the SIMR, Arkansas considered various methods. Once the SIMR measurement and calculation were developed with both internal and external stakeholders input, the focus shifted to setting the targets through FFY 2018. The IDEA Data & Research staff

reviewed various strategies on target setting and meaningful differences between years. After sharing the target setting options with stakeholders, the group decided to use the *Guide for Describing Meaningful Differences (2002)*, which was developed by John Carr at WestEd. The purpose of the tool is to describe differences in the percentages of achievement results. Using the table presented in Exhibit I-17.9, stakeholders selected to increase the targets by eight percentage point between FFY 2013 and FFY2018: the high end of the moderate percentage point difference for comparing 500+ students.

Exhibit I-17.9: Guide for Describing Meaningful Differences

Descriptive Difference	Total Number of Students being Compared			
	50	100	200	500+
	Percentage Point Difference			
None	0-12	0-8	0-5	0-3
Small	13-15	9-11	6-7	4-5
Moderate	16-19	12-14	8-10	6-8
Fairly Large	20-25	15-17	11-13	9-10
Large	26-29	18-24	14-19	11-15
Very Large	30+	25+	20+	16+

Although, the tool was not intended for use in setting targets, it provided guidance in selecting a percentage point increase for the next five years that would indicate a meaningful difference. Arkansas selected the target growth rate of eight percentage points from the FFY 2013 baseline to FFY 2018, resulting in an annual growth rate of 1.6 percentage points. While the annual growth rate may seem small, as schools throughout the central and delta region are added to the implementation, the number of students being measured will increase substantially.

The targets have been established to reflect a measurable improvement over the FFY 2014 baseline data. The initial targets were set using data for grades 3-5 from Little Rock School District's six targeted elementary schools. As schools are added through scale-up, the targets may need to be updated to reflect the changing population; however, the baseline will remain the same.

Section 1: Summary of Phase III

In Phase III of the State Systemic Improvement Plan, the Arkansas Department of Education has implemented a plan for two coherent strategies to improve ADE's infrastructure and increase the SIMR. Arkansas' SIMR is focused on improving the literacy achievement of students with disabilities in third through fifth grade. Arkansas's Theory of Action is illustrated in Exhibit I- 17.10.

Exhibit I-17.10: Arkansas's Theory of Action

Arkansas Theory of Action

Vision: To provide an innovative, comprehensive education system focused on outcomes that ensures every student in Arkansas is prepared to succeed in post-secondary education and careers.

Strands of Action	If ADE	Then	Then	Then
Collaboration	… aligns and coordinates existing resources, systems and initiatives	… ADE will more effectively leverage resources to improve services for SWD … ADE will increase the reach and impact of its work with LEAs	… LEAs will have the knowledge and skills necessary to provide high quality, evidence based services and supports for SWD by accessing resources, PD, and TA from the ADE	…All children with disabilities will receive individualized services in the least restrictive environment and demonstrate improved educational results and functional outcomes
PD and TA Development And Dissemination	… creates a system of PD and TA that is aligned with other ADE Units and is differentiated based on LEAs needs … designs and implements evidence based PD and TA for educators of SWD … restructures Arkansas's RTI model using evidence based PD and TA to implement a multi-tiered system of supports for behavior and academics	… ADE will increased its ability to support LEAs capacity to implement evidence based systems and practices … ADE will have aligned and effective resources available to support LEAs in differentiated and individualized evidence based practices for all SWD		

The two improvement strategies that are being implemented are

> Strategy One: Create a system of support that is aligned with other ADE Units and is differentiated based on LEAs' needs as evidenced by data.

> Strategy Two: In collaboration with other ADE Units, restructure Arkansas' Response-to-Intervention (RTI) model using evidence-based personnel development to implement a multi-tiered system of supports for behavior and academics, with a focus on literacy.

Strategy One focuses on creating a coordinated system of support to provide the necessary organizational structures for the way in which LEA services and supports will be identified, managed, and differentiated at the state-level. This Strategy focuses on building the infrastructure needed for the ADE to be more effective in leveraging resources that will improve services for all students (including students with disabilities) and increasing the reach and impact of its work with LEAs. Since the submission of Phase II, a Cross Unit ADE Team (Special Education, School Improvement, Title I, Assessment, Curriculum Supports, and Educator Effectiveness Units) meets regularly to support the building of this system. Many of the goals outlined by the team are directly tied to supporting the development and implementation of the ADE Strategic Plan, which provides a foundation for the ESSA plan in development. The team's goal is to directly align the system of support with the supports written into the State's ESSA plan. Formal evaluation tools are in the process of being developed with the support of the national IDC IDEA Data Center to assess the knowledge and skills gained by the team in this process.

Strategy Two focuses on RTI. The evidence-based practice is being implemented in SSIP-

targeted districts and intensively supported by the State. The Arkansas SPDG was written to directly align and support the State Systemic Improvement Plan. The SPDG functions as the "boots on the ground" for the RTI implementation in targeted SSIP districts.

The SPDG Goals

- Develop statewide RTI resources and tools in the areas of behavior and literacy.
- Increase the capacity of regional and district teams in their ability to deliver high quality RTI professional development as well as technical assistance to support the implementation of evidence-based instructional practices within schools with fidelity.
- Improve educators' ability to implement evidence-based literacy and behavior support practices.
- Improve literacy and behavior outcomes for all students, especially students with disabilities.

Summary of Phase III State Level RTI Work

A State Implementation Team has been formed and consists of SPDG Staff and ADE leadership across School Improvement, Curricular Supports and Special Education. The evaluation tool utilized by the State Implementation Team is the State Implementation of Scaling-up Evidence-based Practices Center (SISEP) State Capacity Assessment (SCA). The SCA is was completed in March, 2016 and assessed the State's capacity to support RTI statewide. As a result of that assessment, the State Implementation Team built an action plan around the systems alignment section of the assessment.

A RTI State Advisory Team has been developed to elicit stakeholder input on how to more effectively address statewide RTI Implementation including identifying strengths and barriers, guiding implementation, and supporting effective communication. The Advisory Team has provided feedback on implementation challenges, professional development, and guidance documents.

Summary of Phase III Regional Level RTI Work

The State Implementation Team has supported RTI work at the regional level through the creation and dissemination of online RTI modules. A total of seven modules have been built. All modules are divided into short segments and include a facilitation guide accessible to regional Education Services Cooperatives (ESCs) for RTI work. The ESC content specialists have received training in how to facilitate the modules. For a full description of the modules see the Progress of Implementation Section.

Summary of Phase III District and School Level RTI Work

The SPDG has partnered with a total of four targeted SSIP districts. Within these four districts, 21 schools have been selected for RTI Implementation. The SPDG has contracted with the American Institutes of Research (AIR), Arkansas State University Center for Community Engagement, and the Center for Exceptional Families to support the SSIP targeted districts. The SPDG's partnership with the ADE School Improvement Unit has led to RTI becoming the school improvement model for these schools. A three-year professional development and coaching

scope and sequence has been developed and is differentiated based on district and school readiness. The SPDG began the implementation process by forming a teaming infrastructure to support RTI work. The infrastructure includes District Implementation Teams and School Leadership Teams that have been formed and meet monthly. Additionally, district and school coaches have been identified and are currently being trained to support the RTI work in the areas of literacy and Positive Behavior Interventions and Supports (PBIS). The SPDG provides professional development and coaching in RTI infrastructure, a comprehensive literacy tiered system of support, and PBIS.

Evaluation Overview

The SPDG utilizes a comprehensive evaluation system. District Implementation Teams complete the SISEP District Capacity Assessment (DCA) to measure their capacity for RTI support. Based on assessment results, the Teams have developed an action plan to support RTI capacity in their districts. Schools utilize "The Center for Response to Intervention Implementation Fidelity Rubric" to assess their overall RTI schoolwide systems. Each school has developed an RTI implementation action plan based on the assessment results. To assess the fidelity of their PBIS implementation, schools are using the Tiered Fidelity Inventory (TFI). All the schools that implemented the Tier One PBIS practices in the 2015-2016 school year have reported growth. A literacy tool from the University of Oregon (The Planning and Evaluation Tool for Effective School-wide Reading Programs-Revised for grades K-2 and the School-Wide Evaluation & Planning Tool for grades 3-8) is being used to assess the school's literacy systems. Based on baseline data, all schools that implemented the program in the 2015-2016 school year focused on core literacy instruction. Data collection systems are being put in place for the districts to collect and analyze literacy screener scores and office discipline referrals.

The activities that have taken place in Phase III include building an infrastructure and modeling implementation science frameworks that support sustainability and scale-up. Strategy One is focusing on building the infrastructure within the ADE to better serve LEAs. The goals of the Cross Unit Team are directly tied to supporting the development of the ADE Strategic Plan and will support the State's ESSA Plan. Strategy Two has utilized implementation science frameworks by intentionally building RTI state, district, and school implementation teams. An RTI training and coaching scope and sequence is being utilized to support intensive RTI training at the district and school level in the areas of literacy and behavior. The State RTI Advisory Team has provided feedback on RTI modules and implementation processes that have helped the state create and disseminate RTI resources. The use of capacity and fidelity assessments and student outcomes data is providing the evaluation feedback needed to make changes in implementation supports.

Section 2: Progress in Implementing the SSIP

The ADE has made significant progress in the implementation of coherent improvement strategies identified in Phase I. The two strategies that the ADE is focusing on for the SSIP are

> Strategy One: Create a system of support that is aligned with other ADE Units and is differentiated based on LEAs' needs as evidenced by data.

Strategy Two: In collaboration with other ADE Units, restructure Arkansas' Response-to-Intervention model using evidence-based personnel development to implement a multi-tiered system of supports for behavior and academics, with a focus on literacy.

Strategy One focuses on creating a coordinated system of support that will provide the necessary organizational and teaming structures for the way in which LEA services and supports will be identified, managed, and differentiated at the state-level. This Strategy was directly built into the ADE's theory of action. By focusing on building its infrastructure, the ADE will be more effective in leveraging resources that will improve services for all students (including students with disabilities) and increase the reach and impact of its work with Local Education Agencies (LEA). Strategy Two, the restructuring of the Arkansas RTI framework with a focus in literacy and behavior, is the evidence-based practice being provided to LEAs. The RTI Framework provides the model to organize and assess LEAs' literacy services as well as behavior services and supports. The purposeful selection of both a system strategy and content strategy is what differentiates the SSIP strategies from previously implemented improvement efforts.

Progress in Strategy One and Stakeholder Input - Creating a Coordinated System of Support

Through the infrastructure analysis work completed in Phase I, the ADE began identifying opportunities for multiple offices within the agency and other stakeholders to work collaboratively on the improvement of the ADE infrastructure. The special education unit has determined stakeholder involvement as a priority for all activities. The SSIP infrastructure analysis work and the Special Education Unit's priority of reaching out to multiple stakeholders laid a solid foundation for this collaborative work. By focusing on a coordinated system of support in Strategy One, the Special Education Unit and the School Improvement Unit have been able to collaborate on initial activities related to this Strategy. For example, at the beginning of the 2016-17 school year, the Units analyzed data to identify districts' needs through a special education risk assessment. Targeted LEAs were identified as districts that would benefit from coordinated support from the Special Education Unit and the School Improvement Unit. While providing services to these targeted districts, the Units were also able to provide cross training. Four of the districts identified through this data analysis are receiving intensive technical assistance in Response to Intervention. The process is being driven by internal ADE stakeholders as well as external district stakeholders. District personnel provide feedback directly to the ADE special education and school improvement consultants who are jointly providing services in the schools. External stakeholder feedback from principals, school improvement specialists, and other school leaders is shared regularly during meetings.

Early successes of this collaboration between school improvement and special education and the introduction of the ADE's Strategic Plan in December 2016 have been evident and four more ADE Units have joined the collaboration. A Cross Unit ADE Team has now been formed which includes Special Education, School Improvement, Title I, Assessment, Curriculum Supports, and Education Effectiveness. The team meets every two weeks to continue developing the system of support for LEAs. These Units within the ADE house and support many of the Department's initiatives, resources, and direct district supports. The Team has utilized the SISEP Term of Reference document to outline the vision, goals, communication protocols, roles and

responsibilities, and scope of work. Additionally, the State has joined the National Center for Systemic Improvement (NCSI) Systems Alignment Cross State Learning collaborative that is focusing on building effecting infrastructure within a state agency. This collaborative has supported the team's goals and next steps by providing intentional networking with other states and highlighting processes and tools that support infrastructure development.

The Team's work has moved more slowly because of the introduction of additional Units, the ADE's Strategic Plan, and Every Student Success Act (ESSA). Many of the goals outlined by the team are directly tied to supporting ADE's Strategic Plan and the development of the State's ESSA plan. The goal of the Team is to directly align the system of support with the supports written into the State's ESSA plan. An update to the activities the team has completed is outlined in Exhibit I-17.11

Stakeholder Feedback

The Special Education Unit has provided regular updates to external stakeholders including the Special Education State Advisory Council and Special Education LEA Supervisors to keep these groups informed as well as to solicit their feedback. The SSIP Coordinator provides quarterly updates on SSIP activities to the Special Education State Advisory Council. During these updates the Council provides feedback on activities. At the annual ADE Special Education Academy and on LEA monthly technical assistance calls, the SSIP Coordinator and the Associate Director of Special Education provide updates to LEA Special Education Supervisors about the infrastructure work taking place as well as solicit their feedback on the process.

Exhibit I-17.11: Improvement Strategy One Update on Activities

Activities to Meet Outcomes	Steps to Implement Activities	Timeline (projected initiation & completion dates)	Resources Needed	Who Is Responsible
Identifying LEA Support and Needs	The Cross Unit Team will analyze data to identify targeted LEA needs through a comprehensive needs assessment. Create an online portal where LEAs can request ADE Supports.	Initial identification of LEA needs using a Special Education Risk Assessment was completed in August 2016. The identification of LEA needs using a comprehensive needs assessment will occur in October 2018. The creation of an online portal where LEAs can request ADE Supports will be completed by May 2018.	Comprehensive needs assessment Online portal for LEAs to request services from ADE	Cross Unit Leadership Team will meet two times a month to implement activities. Staff from Special Education, School Improvement, Curriculum Supports, Assessment, Title I, and Educator Effectiveness
Phase III Summary of Progress The Special Education has finalized the Special Education Risk Assessment. The Assessment focuses on special education results indicators around literacy, behavior, LRE, and some school improvement indicators (e.g. does the district have new special education leadership, do they have priority or focus schools). This Risk Assessment was built with feedback from special education supervisors. In August 2016 the Special Education and School Improvement Units met to analyze the data from the Special Education Risk Assessment. Based on the analysis, twelve districts were identified as need intensive special education assistance and four were identified as needing RTI support. ADE has not finalized the comprehensive needs assessment at this time, so data from those findings were not used.				

The online portal where LEAs can request ADE support has not been built at this time. The ADE has reached out to another state to review their online portal. The ADE is currently investigating how to build the portal to best meet the State needs. Internal and external stakeholder input will be collected before moving forward with the portal design.

Leveraging ADE Supports between units	The targeted ADE Units identify key Supports within their Unit. The targeted ADE Units communicate key Supports to each other. ADE Units identify key Supports where resources can be shared. The ADE Cross Unit Team will develop a common scope of work for key Supports.	Phase III Update Identifying key Supports with targeted Units and communicating those Supports across Units will be completed in April 2017. The identification of key overlapping Supports followed by the development of a common scope of work will be finalized in August 2017. After August, these activities will be ongoing and will occur regularly as key Supports are identified.	Document to complete initiative analysis between Units Document to outline key overlapping Supports Scope of work action plan for key Supports	Cross Unit Leadership Team will meet two times a month to implement activities. Staff from Special Education, School Improvement, Curriculum Supports, Assessment, Title I, and Educator Effectiveness

Phase III Summary of Progress

The Team reached out to the South Central Comprehensive Center (SC3) and NCSI to help facilitate the initiative inventory process for the Team. With the facilitation support from SC3 and NCSI, the Team met in March 2017 to identify the supports each unit provides to LEAs. The initiative inventory process is important because the Units within the Cross Unit Team need to take a comprehensive look at what Supports each Unit in providing and they also need to review all of the expectations that are placed on struggling LEAs. The need to coordinate services across Units is evident when LEAs are struggling to meet the demands of initiatives. Once all the initiatives have been recognized in April 2017, the Team plans to work on identifying key Supports where Unit resources can be leveled or aligned. An initiative that has been identified early in the process was RTI. An update on how resources have been coordinated between Units can be found in the Strategy Two update.

| **Coordinating and Disseminating Supports** | Determine what Supports will be provided to LEAs

Determine the level of support LEAs need

Develop ADE protocols for assigning Supports

Decide how Supports will be disseminated

Create a common system where ADE can track LEA Supports and determine fidelity of implementation

Develop internal training materials for the ADE Units on the process for coordinating and disseminating Supports to LEAs | The determination of what Support will be provided, the level of Support, the ADE protocols for assigning Supports, and how Supports will be disseminated to LEAs will be completed by May 2018. After May, these activities will be ongoing and will occur regularly as LEAs are identified.

The creation of a common system that will allow ADE to track LEA support and determine fidelity of implementation will be completed by August 2018.

The development of internal training materials for ADE Units will be completed by June 2018. The training of ADE staff will occur yearly unless more frequent training is needed for new staff. | A resource document that lists possible ADE Supports

Protocols for assigning Support to LEAs

A system that tracks Support outcomes

Internal training guidebook for ADE staff on coordinating and disseminating Supports to LEAs | Cross Unit Leadership Team will meet two times each month to implement activities.

Staff from Special Education, School Improvement, Curriculum Supports, Assessment, Title I, and Educator Effectiveness |
|---|---|---|---|---|

Phase III Summary of Progress
The Cross Unit Team is in the early stages of the coordinating and disseminating Supports. As Supports are identified, the Team will be able to develop protocols for this process. The completion of the State's ESSA plan will also outline some of this process for the Cross Unit Team. The protocols around determining and disseminating Supports to LEAs will be completed in May 2018. A system to track LEA supports will be completed by May 2017. Internal training materials for the ADE Units on the process for coordinating and disseminating Supports to LEAs will be completed by June 2018.

Progress in Strategy Two and Stakeholder Input - RTI Support

Strategy two focuses on RTI, the evidence-based practice adopted by Arkansas. Arkansas is intensively supporting SSIP targeted districts in implementing RTI strategies as well as building statewide resources. Sometimes referred to as Multi-Tiered System of Supports in other states, RTI integrates assessment and intervention within a school-wide, multilevel prevention system to maximize student achievement and reduce behavior problems.

The Arkansas SPDG was written to directly align and support Strategy Two of the SSIP. The SPDG functions as the "boots on the ground" for the RTI implementation in targeted SSIP districts. The SPDG facilitates the design and implementation of the support system to implement RTI at the state, regional, district, and school levels. With the results of the infrastructure and data analysis completed in Phase I of the SSIP, it became evident that the SPDG should focus on all levels of the system (state, regional, district, and school levels) to support scalability and sustainability of the RTI.

The SPDG has three main partners that support the work in targeted districts:

- The American Institutes of Research will provide RTI support and resources
- Arkansas State University's Center for Community Engagement will provide support to implement PBIS
- Arkansas' Center for Exceptional Families will provide parents with an understanding of RTI and their role in supporting their child

The SPDG has been working directly with SSIP targeted schools to provide the systemic supports needed to achieve the intended outcomes of the SIMR and the statewide RTI Arkansas initiative. Strategy Two directly supports goals of the Arkansas RTI initiative. All professional development and RTI implementation fidelity tools that are utilized by the SPDG have been disseminated statewide through the RTI Arkansas website. This initiative is supported by ADE leadership and will continue to be highlighted in the ADE's Strategic Plan, at large statewide conferences, and regional meetings. To support alignment and leverage support in the ADE, the SPDG has partnered with the ADE School Improvement Unit in this work. One outcome of this partnership is that RTI has become the school improvement model for the districts that the SPDG is working with intensively.

The SPDG is working collaboratively with the School Improvement Unit to revise the state mandated reports and Arkansas Comprehensive School Improvement Plan (ACSIP) Indistar indicators so that they align with an RTI Framework for literacy and behavior. This partnership has been critical in getting buy-in, providing timely and specific feedback, eliminating barriers, and facilitating RTI implementation for districts/schools in school improvement. These districts/schools in improvement were already being mandated to provide time and resources to support improvement. The SPDG is now able to guide their data and needs assessment mandated under the ESEA Flexibility, support them in setting improvement goals, and provide the guidance and supports needed to implement their goals.

The RTI literacy professional development is being developed in collaboration with the ADE Curricular Supports Unit and the American Institutes of Research through a Comprehensive Literacy Framework. Arkansas' Comprehensive Literacy Framework initiative provides guidance and support in building and sustaining a comprehensive literacy system at the local

level. The goals for the Comprehensive Framework will be directly integrated in the SSIP targeted schools as part of the larger RTI Framework.

The PBIS professional development is being developed in collaboration with the SPDG and Arkansas State University's Center for Community Engagement (A- State CCE). A-State CCE runs the PBIS center and works directly with the SPDG to create an integrated academic and behavioral RTI framework.

The overall SPDG Goals are to

- Develop statewide RTI literacy and behavior resources and tools.
- Increase the capacity of regional and district teams to deliver high quality RTI professional development and technical assistance to support implementation fidelity of evidence-based instructional practices within schools.
- Improve educators' ability to implement evidence-based literacy and behavior support practices.
- Improve literacy and behavior outcomes for all students, especially students with disabilities.

State Level RTI Infrastructure Work

A State Implementation Team has formed and consists of the ADE Assistant Commissioner, Division of Learning Services; the director of Curricular Supports; the director of Special Education; the SPDG Core Management Team; ADE staff from multiple units; the IDEA data manager; and the external evaluator. The SPDG Core Management Team includes staff hired to support the SPDG (SPDG Director, RTI Literacy Coordinator, RTI Behavior Coordinator), American Institutes for Research, Arkansas State University's Center for Community Engagement, the Center the Exceptional Families, and external evaluators from Public Sector Consultants. The role of the State Implementation Team is to

- Advise the Core Management Team regarding implementation, barrier-busting, communication strategies
- Provide input to improve alignment with relevant state initiatives
- Use fidelity and student outcome data for project improvements and decision-making, as well as reporting.

The evaluation tool the State Implementation Team is utilizing is the SISEP State Capacity Assessment (SCA). The SCA was completed in March 2016 and assessed the State's capacity to support RTI statewide. As a result of that assessment, the State Implementation Team built an action plan around the Systems Alignment section of the assessment. The action plan focused on building teaming protocols for the State Implementation Team and developing statewide resources to ensure scalability and sustainability of RTI.

One immediate action taken by the State Implementation Team was to develop an RTI State Advisory Team. The purpose of the Advisory is to get stakeholder input regarding how to more effectively address statewide RTI Implementation including identifying strengths and barriers, guiding implementation, and supporting effective communication. The Advisory Team has been

meeting quarterly since March 2016 and has provided feedback on implementation challenges, professional development, and guidance documents. The Advisory includes an ESC director, ESC teacher center coordinator, literacy specialists, superintendent, principal, teacher, parent, district 504/RTI coordinator, university professor, and ADE personnel in school improvement, special education, curricular supports, and the SPDG Core Management Team.

The SPDG Core Management Team, in partnership with the RTI State Advisory and State Implementation Team, has established internal team protocols, roles and responsibilities. This was critical in supporting the intensive RTI work in SSIP targeted districts. The SPDG Core Management Team has also established structures and protocols for regional and district implementation teams. The district protocol is now being used to guide implementation team protocols and roles and responsibilities. Additionally, the SPDG Core Management Team has created a district and school professional development and coaching scope and sequence for SSIP targeted districts. The scope and sequence was modeled after Michigan's SPDG MIBLSI and supports districts for a minimum of 3 years. Based on stakeholder feedback (principals, school improvement specialists, associate superintendents, district literacy and behavior coordinator, and literacy coaches) from the first SSIP targeted district, the scope and sequence was modified to include more time to process and implement activities between professional development sessions and more onsite coaching at the district and school level. The SPDG is continually utilizing stakeholder feedback from professional development evaluations, coaching feedback surveys, and onsite district and school visits to make changes.

Regional Level RTI Infrastructure Work

The SPDG is currently working on a regional RTI application process that will be implemented prior to the 2017-2018 school year for ESC's to apply for intensive RTI support. The application will be targeted to ESCs that support districts identified as needing services through the Phase I data analysis. The SPDG has received feedback from the RTI Advisory Team concerning what supports ESCs will need and what should be included in the application. The State Implementation Team will review applications for readiness by using the SISEP Hexagon Tool. The SPDG will work directly with ESC staff in building their capacity to support RTI in the districts they service. The regional level is essential for sustainability, fidelity of implementation, and scalability for RTI statewide.

The State Implementation Team has also supported RTI work at the regional level through building online RTI modules. The online models were built in partnership with Arkansas' Internet Delivered Education for Arkansas Schools (AR IDEAS), an ADE grant that works with the Arkansas Education Television Network to develop online professional development courses. The online modules are built to be facilitated in professional learning comminutes and/or LEA staff meetings. The modules include a facilitation guide that educational specialists at regional ESCs can utilize to support RTI work. The ESC content specialists have received training in how to facilitate the modules. Below is a list of developed models.

- RTI Arkansas: Overview – The overview defines RTI in detail, including its essential components, the multi-tiered system of supports, screening, progress monitoring, and data-based decision making. It is designed to help lead a comprehensive, cultural shift within schools. Educators from across the state share their insight on RTI to show how it has made an impact.

- RTI Arkansas: Leadership – In this leadership course, administrators from across the state share their insights on RTI. This course takes a closer look at what steps district leaders need to take in order to implement RTI successfully within their districts
- RTI Arkansas: Multi-tiered System of Support for Literacy – This training introduces key concepts that schools need to consider in order to develop an effective RTI system for literacy. Within this module, a panel consisting of a literacy specialist, a kindergarten teacher, and three first-grade teachers navigate through the Response to Intervention Handbook for Grades K-5 and identify strengths and weaknesses within the RTI system at the district level. The purpose of this module is for TI team to work through the handbook to define and refine the RTI literacy process within a school.
- RTI Arkansas: Multi-tiered System of Support for High School - Within this module are key concepts that high schools need to consider in order to develop an effective RTI system. Essential components of RTI are reviewed and various differences for high school implementation are identified. Participants are encouraged to navigate through the RTI High School Handbook to identify strengths and weaknesses within the RTI system at their districts. The purpose of this module is for ~~you're the~~ RTI team to work through the handbook to define and describe RTI within their school.
- RTI Arkansas: Special Populations within the RTI Framework – This module develops a deeper understanding of how to meet the needs of a special population of students within the RTI Framework. Participants will be guided through the use of practical strategies for providing evidence-based instruction and assessment to students with disabilities and diverse learning needs within Tier I Core Instruction.
- RTI Arkansas: PBIS Overview – This PBIS Overview module outlines the essential components of PBIS, how behavior data can be utilized, and how leadership can support PBIS implementation.
- RTI Arkansas: PBIS Guidebook – This PBIS Guidebook provides an overview of a PBIS team role and responsibilities and a step-by-step handbook to develop PBIS in a school.

District and School RTI Work

During the 2015-2016 school year, the SPDG partnered with its first targeted SSIP district (Cohort I). Within this district, six elementary schools were selected for RTI Implementation in the 2015-2016 school year and seven elementary schools in the 2016-2017 school year. These schools were chosen by (a) assessing readiness, (b) their Focus School accountability status, and (c) a district long term plan to support a feeder pattern. Based on the partnership the SPDG has formed with the School Improvement Unit, RTI has become the school improvement model for these schools. The SPDG 2015-2016 schools referenced below are Cohort I and the 2017-18 schools as Cohort II. The district has engaged in the following activities:

- A District Implementation Team has formed and meets monthly to support the RTI work in the targeted schools
- District coaches have been identified and are currently being trained to support school level RTI work in the areas of literacy and Positive Behavior Interventions and Supports. The district level coaches are essential for district sustainability of RTI.
- School level coaches have been identified and are currently being trained to support the RTI work in the areas of literacy and Positive Behavior Interventions and Supports. The

school level coaches are essential for school implementation of RTI.

- As of March 2017, Cohort I has received professional development and coaching in RTI leadership and infrastructure, data based decision making, literacy core instruction, differentiated instruction, and Positive Behavior Interventions and Supports. Cohort I was provided professional development and coaching in RTI leadership, infrastructure, and PBIS in Spring 2017. They started implementing PBIS at the beginning of the 2016 – 17 school year and have continued to receive coaching support through PBIS coaches' meetings, onsite walkthroughs, and onsite support during PBIS meetings. Cohort I received training in data-based decision making and professional development in Literacy Core instruction in Fall 2016. In Spring 2017 the focus was on differentiated instruction. The coaching support within the schools is being provided by the district literacy coaches and SPDG staff through classroom walkthroughs and attendance at leadership team meetings.
- As of March 2017, Cohort II has received professional development and coaching in RTI leadership, infrastructure, and Positive Behavior Interventions and Supports. They will start PBIS implementation in August 2017.

Evaluation Activities and Outcomes

- During the 2015-16 school year, the District Implementation Team completed the SISEP District Capacity Assessment. This assessment was used to assess the district's capacity to support RTI work. Based on the assessment results, the Team developed an action plan to support RTI work in the areas of leadership, training, and coaching support. They will complete this assessment again in June 2017.
- During the 2015-16 school year, Cohort I utilized the Center for Response to Intervention Implementation Fidelity Rubric to assess their overall RTI schoolwide systems. Each school built an RTI implementation action plan based on the results of this assessment. They will complete this assessment again in May 2017.
- During the 2015-16 and 2016-17 school year, Cohort I utilized the National PBIS Center TFI assessment to assess their implementation fidelity. All six schools have seen growth in Tier One of their PBIS implementation. They will complete the assessment again in October and April of the 2017-18 school year.
- During the 2015-2016 school year, Cohort I utilized a literacy tool (the University of Oregon Planning and Evaluation Tool for Effective School-wide Reading Programs - Revised for grades K-2 and the School-Wide Evaluation & Planning Tool for grades 3-8). These tools assess the school's literacy systems. As a result, a focus was placed on core literacy instruction. Cohort I will complete the assessment again in October and April of the 2018-19 school year.
- During the 2017-18 school year, the Cohort Two Schools utilized the National PBIS Center TFI assessment to assess their implementation of PBIS. This is baseline data this year. They will complete the assessment again in October and April of the 2018-19 school year.

During the 2016-2017 school year, the SPDG also partnered with three additional SSIP targeted districts (Cohort II). These districts were identified as potentially needing RTI support through the data analysis done by the Special Education Unit and the School Improvement Unit. The

SPDG met with each district to discuss the RTI supports they would receive, the role of the SPDG, and the expectations of the district. The districts then completed a SPDG application for support. Each district selected schools to begin the RTI work based on the SISEP Hexagon tools and feeder patterns. Below are some activities the new districts have engaged in:

- Cohort II district implementation teams have been formed in all three districts and meet monthly to support the RTI work in the identified schools
- Cohort II district coaches have been identified and are currently being trained to support school level RTI work in the areas of literacy and Positive Behavior Interventions and Supports. The district level coaches are essential for district sustainability of RTI.
- School level coaches have been identified and are currently being trained to support the RTI work in the areas of literacy and PBIS. The school level coaches are essential for school implementation of RTI.
- As of March 2017, the targeted schools in each district have received professional development and technical assistance in RTI leadership and infrastructure, and Positive Behavior Interventions and Supports. They will start PBIS implementation in August 2017.

Evaluation Activities and Outcomes

- The Cohort II District Implementation Teams from the three new districts will complete the SISEP District Capacity Assessment in September of the 2017-18 school year. This assessment is used to assess the district capacity to support RTI work. Based on the assessment results, the Teams will develop an action plan to support RTI work.
- During the 2017-18 school year, the targeted schools utilized the National PBIS Center TFI assessment to assess their implementation of PBIS. This is baseline data this year. They will complete the assessment in October and April of the 2018-19 school year.
- The schools will utilize the Center for Response the Intervention RTI Implementation Fidelity Rubric to assess their overall RTI schoolwide systems in May 2017. Each school will build an RTI implementation action plan based on the results of this assessment.
- Many activities have been completed to support the advancement of strategies one and two. Strategy One's activities have focused on forming a Cross Unit Team and starting an initiative analysis across the participating Units. The activities for Strategy Two have focused on forming an effective teaming structure and building professional development and coaching resources to intensively support SSIP targeted districts in RTI implementation.

Section 3: Data on Implementation and Outcomes

To ensure alignment of the evaluation plan to the theory of action, the ADE developed a logic model for each Strategy. The logic model was essential because it operationalized the theory of action and established short, intermediate, and long term goals and outcomes for each Strategy.

Strategy One – Data and Implementation Outcomes

The evaluation of improvement Strategy One, a coordinated System of Support, is still in the process of being developed in partnership with the national IDC IDEA Data Center and internal ADE stakeholders (Cross Unit Team). Timelines for completion of these activities, set in Phase II of the project, have been pushed back due to the introduction of additional ADE Units, the ADE's Strategic Plan, and the ESSA. With the inclusion of additional team members, time has been spent defining the purpose of the Team, roles and responsibilities, vision, goals, and communication protocols. Additionally, the team has spent time discussing their goals and ensuring they are embedded in the ADE Strategic Plan. This is important for the sustainability of the Team in the event of staff turnover. The team has also committed to learning about ESSA requirements and how their goals directly support the development of the State's Plan. These activities led to the participation in the NCSI Cross State Systems Alignment Learning Collaborative. As part of that Collaborative, members of the Cross Unit Team have participated in an Affinity Group, formed to learn about measuring infrastructure change. The affinity group will help the Cross Unit Team explore various methods of measuring change.

The first tool, currently being developed, is a survey used to measure short term outcomes of how the Cross Unit Team has increased their knowledge and skill level around the System components. The ADE believes that with the increase of knowledge and skill will come the opportunity for cultural change in collaboration between multiple offices. The collection of this data will be critical to Phase III of the project and will reveal any increases in the participants' knowledge. Once baseline results of the survey are collected in August 2017, the survey will be completed quarterly. Survey goals include measuring three short term outcomes:
- Increase the knowledge of the Cross Unit Team on how state-level supports can be coordinated.
- Increase the knowledge of the Cross Unit Team to use data from across ADE for the selection of supports to meet LEA needs.
- Increase the ability of the Cross Unit Team to use data from across the ADE to determine how supports are disseminated to meet LEA needs.

A rubric outlined in Leading by Convening (see copy in Appendix I) will be utilized in attaining goals. The "Doing the Work Together" rubric will track progress in the Cross Unit Team's practice of collaborating on key state supports disseminated to districts. The Cross Unit Team hopes to work with the National Center for Systemic Improvement and/or the national IDEA Data Center to build out this rubric into an evaluation survey or rating scale. Baseline results will be collected in December 2017 and will then be completed twice each year. The goals of the Rubric will be to measure the two outcomes:
- Increase the practice of the Cross Unit Team intentionally sharing ownership in goals and outcomes for key LEA supports.
- Increase the practices of the Cross Unit Team in how they allocate, differentiate, and disseminate supports to meet LEA needs.

Ultimately, the long term outcomes of this Strategy are to determine if the coordinated system of support provided timely, targeted, and differentiated supports to meet the needs of LEAs. A critical goal of coordinated support is to enable targeted LEAs in increasing the literacy achievement on the statewide assessment for students with disabilities in third through fifth

grade. An annual evaluation survey for targeted LEAs will be disseminated on or before December 2018; the Cross Unit Team will review this data to make any needed changes.

The Special Education Unit SSIP Coordinator and IDEA Data Manager are taking the lead in building the evaluation tools, but other internal stakeholders represented on the Cross Unit Team will be directly involved in the creation of any evaluation tools. The Cross Unit Team will involve LEAs in creating the survey used to measure the long term goals.

Strategy Two – Data and Implementation Outcomes

The Arkansas SPDG was written to directly align and support the State Systemic Improvement Plan. The evaluation of improvement Strategy Two, implementation of RTI, is directly aligned with the SPDG evaluation plan. The same external evaluation team written into the SPDG, Public Sector Consultants, will evaluate the implementation of RTI. The SPDG's comprehensive evaluation system will measure RTI capacity, fidelity of implementation, and student outcomes.

State Level RTI Implementation and Data

The State Implementation Team completed the SISEP State Capacity Assessment (see copy in Appendix I) on March 1, 2016, with a focus on RTI. The SCA is designed to support scaling up of evidence-based practices by providing a regular measure of state capacity, a structured process for completing a state action plan, information on progress towards goals, and a common infrastructure for implementation. The assessment was administered by SISEP staff and facilitated by the SPDG Director, with support from the SISEP Center.

The overall score showed that 50% of the indicators assessed were in place in the areas of

State Management Team Investment
- Implementation Role and Functions
- Coordination and Implementation
- Leadership

Systems Alignment
- Implementation Guidance Documents
- State Design Team

Commitment to Regional Implementation Capacity
- Resource for Regional Implementation Capacity
- Support for Regional Implementation Team Functioning

The State Implementation Team met after the assessment to review the State Capacity Assessment results and develop an action plan based on areas of strength and need. The Team decided to focus in the area of system alignment and the resulting action plan is centered on building teaming protocols into the State Implementation Team and the SPDG Core

Management Team and developing statewide resources to ensure scalability and sustainability of RTI. The State Implementation Team has started working on a RTI Implementation Guidebook.

Short Term and Long Term Goal

The State Implementation Team will complete this assessment at least annually with a short term goal of a 10% increase every year and a long term goal of having 80% of the SCA components in place. This assessment will be completed in June 2017 and the results of the SCA will be shared with the State Advisory Team to get their feedback on areas of focus and need for the State.

Regional Level RTI Implementation and Data

Key regional partners central to the implementation and success of RTI include Arkansas ESCs. Participating ESCs who commit to partnerships with the SPDG are critical to the development of Regional Implementation Teams. Planned for the 2017-2018 school year, the SPDG has not yet started working with Regional Implementation Teams. Once RTI teams are formed, the SISEP Regional Capacity Assessment will be utilized to assess, plan, and monitor the ESC's capacity to support LEAs.

The SPDG Core Management Team has collected qualitative feedback from the RTI State Advisory on the use of the online RTI modules. There has been discussion about what additional modules need to be created. This feedback is shared directly with the State Implementation Team. Based on feedback from the RTI State Advisory, a PBIS Implementation Guidebook has been developed, and literacy screening modules will be developed in the Spring.

District Level RTI Implementation and Data

During the 2015-2016 school year, the SPDG partnered with its first targeted SSIP district (Cohort I). Six elementary schools were selected for RTI Implementation in the 2015-2016 school year and seven elementary schools in the 2016-2017 school year.

The District Capacity Assessment (see copy in Appendix I) focused on RTI was administered in January 2016 with the District Implementation Team. The purpose of the DCA is to provide a structured process for the development of a district capacity action plan. It provides the District Implementation Team with information needed to monitor progress towards district and building goals; support a common infrastructure for the implementation of effective innovations to achieve desired outcomes for students; and provide district, regional, and state leadership with a regular measure of the capacity for implementation and sustainment of innovations. The District Implementation Team completed the DCA with the assistance of a trained administrator and a facilitator. The DCA was administered by the SPDG Director and facilitated by a Specialist with AIR.

The overall score showed that 54% of the indicators assessed were in place in the areas of Leadership (Leadership and Planning), Competency (Performance Assessment, Selection, Training, Coaching), and Organization (Decision Support Data Systems, Facilitative Administration, Systems Intervention). The District Implementation Team met to review the

DCA results with the SPDG Core Management Team. Based on these results, the team picked an area of strength (Leadership) and an area of need (Training) on which to focus. The Core Management Team supported the District Implementation Team in building an action plan for leadership and training. The DIT is working towards the long term goal of 80% of the DCA components being in place and the short term goal of increasing their score by 10% every year.

The SPDG Core Management Team met following this assessment and planned ways in which the team would support the district in achieving the action plan. The SPDG Team followed up with the District Implementation Team in January 2017 to reassess the areas of Leadership and Training. Since it was determined that all the indicators under Leadership were in place, an action plan was developed in the area of Planning. The assessment will be completed with the team again in June 2017 and will then be administered at least yearly to assess progress.

The SPDG began working with three additional SSIP targeted districts in 2016-17 (Cohort II). These districts will complete the DCA in September 2017, which will allow the Cohort II districts to move out of the exploration phase and into the installation and initial implementation phase of the RTI work.

At the school level, implementation teams have been established in all the participating schools. The school improvement specialists assigned to these schools along with their principals have been identified as persons responsible for fidelity measurement and reporting. They guide vision and alignment of related initiatives, and support implementation through allocation of resources and the removal of barriers to implementation fidelity. The RTI Fidelity of Implementation Rubric (see copy in Appendix I) is used to measure the overall fidelity of implementation with scaled ratings for screening; progress monitoring; data-based decision making; Tier 1, Tier 2, and Tier 3 interventions; infrastructure and support mechanisms; as well as fidelity and evaluation.

Cohort I completed this assessment in May 2016. A summary of results is listed below.

Infrastructure and Support Mechanisms
- Staff knowledge of RTI varies
- RTI infrastructure for behavior is less well developed than for reading
- Quantity and quality of school-based professional development for RTI varies. There is less professional development directed at behavior.
- Communication among school staff regarding RTI implementation varies among schools.
- Parents are informed of interventions and concerns, but not as involved in decision-making.

Assessment
- Wide variety of implementation of progress monitoring
- Some schools report using a data wall; other data systems are not widely used by teachers and staff
- Data based decision rules vary widely. Some schools report lacking a formal decision-making process

Multi-tiered Instruction

Tier 1
- Behavior: Schoolwide bullying prevention curricula are used at Tier 1
- Literacy curricula is consistent across schools
- Most schools make use of a curriculum map to align curriculum with state standards

Tier 2 and 3
- At Tier 2 some academic and behavior interventions are identified
- Tier 3 is not in place in all schools
  - Several schools report smaller groups as distinguishing Tier 3 from Tier 2

Fidelity of Evaluation
- No consistent fidelity checks given
- Observations (most often), checklists and reviews of lesson plans are used to monitor fidelity
- No procedures reported for fidelity/evaluation of RTI for behavior

The information gained from this assessment provided the SPDG Core Management Team data on what trainings and follow up coaching sessions were needed to support RTI at the school level. It was also shared with the District Implementation Team to highlight the current level of RTI implementation in each school. This will be a crucial tool to show implementation fidelity change over time. Cohort II will complete the RTI Fidelity of Implementation Rubric in May 2017.

In order to measure implementation fidelity of specific behavioral and literacy practices, schools will implement the PBIS Tiered Fidelity Inventory and the Planning and Evaluation Tool for Effective School-wide Reading Programs-Revised (PET-R) for grades K-2 and the School-Wide Evaluation & Planning Tool (SWEPT) for grades 3-8.

Baseline data was collected for Cohort I and II on the PBIS Tiered Fidelity Inventory. The purpose of the PBIS Tiered Fidelity Inventory (see copy in Appendix I) is to provide a valid, reliable, and efficient measure of the extent to which school personnel are applying the core features of school-wide positive behavioral interventions and supports. The Inventory is divided into three sections (Tier I: Universal PBIS Features; Tier II: Targeted PBIS Features; and, Tier III: Intensive PBIS Features) that can be used separately or in combination to assess the extent to which core features are in place.

Baseline data for Cohort 1 was gathered in February 2016 and showed that 48% of the indicators for Tier I, II, and III were in place. In January 2017, the TFI was completed for the second time and 62% of the indicators for Tier I, II, and III were in place. The increase was due largely to Tier I indicators being in place. The results have helped the PBIS teams' action plans around specific indicators on the assessment. These results have also informed the work of district PBIS coaches in determining what supports are needed by school level coaches and teams. Lastly, the TFI results have helped the SPDG Core Management Team plan professional development and target coaching support activities. Cohort II will complete

the TFI in March 2017.

Baseline data was collected for Cohort 1 on the PET-R (see copy in Appendix I) for grades K-2 and the SWEPT (see copy in Appendix I) for grades 3-8. The PET-R and SWEPT were created by the Institute for the Development of Education Achievement (IDEA) at the University of Oregon as assessments of the stakeholders' perceptions concerning the level and fidelity of the implementation of a school's current reading program. These assessment address the seven areas of a comprehensive reading framework: Goals, Objectives, Priorities; Assessment; Instructional Programs & Materials; Instructional Time; Differentiated Instruction, Grouping, Scheduling; Administration, Organization, Communication; and Professional Development. Based on baseline results, the two common areas of need for improvement arose: Differentiation/Grouping and Administration/Communication.

The PET-R and SWEPT data was used to guide each school in the process of data-based decision making. The goal was to identify specific areas of focus for reading, and then create a plan of action for improving implementation focused on their identified areas of need. Using data from the Literacy Needs Assessment, the principals, school improvement specialists (SISs), and literacy coaches for Cohort 1 were trained and coached through the process in order to develop an RTI Action Plan. The SPDG RTI Literacy Coordinator and AIR Consultant helped school staff interpret and use the literacy needs assessment data to make a connection between areas of need and the Arkansas Comprehensive School Improvement (ACSIP/Indistar) Indicators already selected for the desired outcomes. Implementation of the process was monitored by an established timeline and through communication during onsite visits, emails, and shared document drafts. The SPDG RTI Literacy Coordinator and AIR Consultant modeled the practice and process during trainings and then visited schools in order to facilitate question & answer sessions to promote deeper understanding. The SISs and literacy coaches were asked to continue the discussion of data based decision making within their professional learning communities as well as with their scheduled literacy coaches monthly meetings. Data info-graphs were made available for distribution to all stakeholders in the school. Cohort I will complete this assessment again in May 2017. Cohort II will complete this assessment in September 2017.

The School-Wide Information System (SWIS) is currently being installed in each participating school to provide information about individual students, groups of students, or the entire student body over any time period. The building PBIS team and the DIT will review SWIS data regularly. As PBIS is implemented with fidelity, it is anticipated that office discipline referrals will decrease. Because SWIS was not implemented until August 2016 in Cohort 1, there is no data to report at this time. Baseline data for Cohort 1 will be established in May 2017. This measurement of student level outcomes will be critical for the SPDG Core Management Team and DIT to review quarterly during district meetings and for the building PBIS team to review monthly during their meetings.

The SPDG Core Management Team coached and guided the district literacy coaches, principals, and SISs, on how to select and implement a reliable and valid screener, and Cohort 1 selected and implemented a literacy screener in August 2016. The SPDG

Literacy Coordinator has been reviewing the student outcome data with the district literacy coaches, the SISs and principals to make decisions that will improve targeted outcome areas. Baseline data will be established for Cohort 1 in May 2017.

There have been measurable improvements in the SIMR in relation to targets. However, the baseline and the targets were determined based on a regular assessment no longer given along with the NCSC/MSAA. Even with a change of assessments in FFY 2014 and again in FFY 2015, student with disabilities in the buildings being served under the SPDG and SSIP saw movement towards reaching a proficient score or maintaining a proficient score in literacy (RLA). These students exceeded the target of 45.60% by 21.14 percentage points (see Exhibit I-17.12). Arkansas does not expect to see this type of gains for the FFY 2016 SSIP for the comparison will be based on the same normed regular assessment (Aspire) and MSAA, instead of two different regular assessments (Aspire and PARCC) and MSAA.

Exhibit I-17.12: FFY 2015 Actual Data Results

Number of SWD who had valid assessment results for current and previous year (A)	Number of SWD who made gains or reached proficiency (B-D)	Percent of SWD in grades 3- 5 who made gains towards reaching a proficient score or maintained proficient score on the statewide literacy assessment	FFY 2015 Target	Target Met
442	**295**	**66.74%**	**45.60%**	**Y**

Stakeholder Engagement

Throughout the RTI implementation process the SPDG Core Management has set up continuous feedback loops with the District and School Implementation Teams through professional development evaluations, coaching surveys, and onsite visits. The SPDG analyzes this data in combination with fidelity assessment results to differentiate the professional development and coaching scope and sequence. The state RTI Advisory Team has provided critical feedback on online RTI modules and ideas to support scale up of RTI statewide.

Section Four: Data Quality Issues

As with any large improvement initiatives, data limitations can affect reporting on implementation progress as well as outcomes. Arkansas has identified a number of limitations in the implementation of the SSIP, particularly around infrastructure changes. Although the Special Education Unit has been working with the School Improvement Unit in provision of technical assistance for over two years, it is difficult to gauge the changes in the collaboration due to changes in staff and the involvement of additional ADE Units. Baseline data for this Strategy have not been collected at this time.

The data collection protocol for strategy one needs to be reassessed to ensure it can capture the needed elements outlined in the logic model. The plan is a survey to gather perceptual data that will show an increase in knowledge and skill around the System components. Arkansas will continue to work with the national IDC IDEA Data Center to develop a new data collection tool.

The SIMR is a growth index tied to the statewide assessments. However, the statewide assessment has changed three times in three years. In FFY 2013, Arkansas was using the State developed benchmark exam, end of course exams in high school, and alternate portfolios. With the creation of the assessment consortiums, Arkansas joined the PARCC and NCSC assessment groups. FFY 2014 saw the implementation of PARCC and NCSC, but PARCC was dropped in FFY 2015 for ACT Aspire. NCSC was renamed MSAA and remains the state's alternate assessment.

Although the year-to-year changes in the designated assigned growth index categories can be compared, the indexes are based on different assessments. Arkansas remained with ACT Aspire and MSAA for the FFY 2016 assessment period. In reporting the FFY 2016 SSIP, the SEU will be able to analyze the growth model based on the same assessments for two consecutive years. A new baseline for the SSIP/SIMR will be reported in FFY 2016 and a review of targets will be conducted with stakeholders to determine if a revision of targets is necessary

Section Five: Progress Toward Achieving Intended Improvements

The ADE has made substantial progress towards achieving the intended improvements outlined in Phase II. During Phase II, a logic model was developed for each Strategy and has guided the short-term and long-team goals toward achieving the SIMR.

Strategy One Outcomes

Strategy One is focused on creating a coordinated system of support that will provide the necessary organizational and teaming structures for how LEA services and supports will be identified, managed, and differentiated at the state level. This Strategy is focused on building the infrastructure that will help the ADE to be more effective in leveraging resources to improve services for all students (including students with disabilities) and increasing the reach and impact of its work with LEAs.

At the beginning of the 2016-17 school year, the School Improvement and Special Education Units analyzed data to identify districts' needs through a special education risk assessment and school improvement indicators. Based on that analysis, targeted LEAs were identified as needing coordinated support from the Special Education Unit and the School Improvement Unit. While providing services to these targeted districts, cross training accrued between Units. The Special Education Unit assigned one staff member to work directly with school improvement teams in order to learn about process and procedures. These teams visited the targeted LEAs on multiple occasions to assess, plan, and monitor school improvement needs, including the needs of students with disabilities. Indistar was used to support the schools in assessing, planning, and monitoring school improvement goals. In the future an evaluation tool will be created to measure the short term outcomes of staffs'
- knowledge of how state-level supports can be coordinated
- knowledge of how to use data from across ADE for the selection of supports to meet LEA needs

- ability to use data from across the ADE to determine how supports are disseminated to meet LEA needs

Four of the districts identified through the data analysis also began receiving intensive technical assistance in RTI. The School Improvement staff have been working with the SPDG Core Management Team to align services and jointly support these four districts. School Improvement staff participated in RTI professional development provided by SPDG for the targeted districts. During School Improvement staff meeting days, the SPDG Core Management Team and School Improvement staff will meet to discuss how to jointly provide onsite coaching for these districts. Now that RTI has become the school improvement model for the targeted schools in the four districts, it is important that the SPDG and School Improvement staff align support.

The SPDG has aligned its data reporting systems for targeted schools with the school improvement process through the use of quarterly reports required by the School Improvement Unit. The SPDG Core Management Team and school improvement staff partnered to outline the data to be collected in the quarterly reports for SPDG schools. The reports now include data on the RTI fidelity assessments as well as student outcomes measures in literacy and behavior. Since this collaboration is still in the early stages, the role and function between the SPDG Core Management Team and school improvement staff have not been completely formalized. By January 2018, the SPDG Management Team and school improvement staff will assess their effectiveness by utilizing the Leading by Convening "Doing the Work Together Rubric." This will measure the intermediate goals of increasing the collaborating staff's practices in key state supports disseminated to districts. The goals of the Rubric would be to measure the two outcomes below:

- Increase the practice of intentionally sharing ownership in goals and outcomes for key LEA supports.
- Increase the practices of collaboratively allocating, differentiating, and disseminating supports to meet LEA needs.

These early outcomes between Special Education and School Improvement staff have led to four additional ADE Units joining the Cross Unit Team. Since the submission of Phase II, a Cross Unit ADE Team (Special Education, School Improvement, Title I, Assessment, Curriculum Supports, and Education Effectiveness Units) now meets regularly to support the building of this system of support. The team's goals are directly embedded in the ADE Strategic Plan and will aligned with the State's ESSA plan.

Strategy Two Outcomes

Strategy Two focuses on RTI, the evidence-based practice that Arkansas has implemented to provide intensive support for SSIP-targeted districts. The Arkansas SPDG was written to directly align and support the State Systemic Improvement Plan. The SPDG functions as the "boots on the ground" for the RTI implementation in targeted SSIP districts.

A critical infrastructure activity that took plan for the sustainability of RTI was the creation of the State Implementation Team. The State Implementation Team has advised the Core

Management Team regarding implementation, barrier-busting, and communication strategies with the four targeted districts currently being targeted for implementation of RTI. The State Implementation Team is also providing guidance for how other initiatives in the ADE can align with RTI.

Another action that was taken to ensure sustainability and scale up statewide for RTI was the development of the RTI State Advisory Team. The Advisory team is made up of a diverse group of educators from across the state. The Advisory group has offered stakeholder feedback about areas of implementation strength, areas of needs, and resources and tools that still need to be developed. Shared directly with the State Implementation Team, this information is used to action plan for future resources and supports. The SISEP State Capacity Assessment was administered to measure the State Implementation Team's capacity to sustain RTI within the state. Currently 50% of the indicators are in place, with the long term goal being 80% to ensure sustainability.

The number of districts that can be supported intensively by the SPDG is limited. The State Implementation Team has facilitated the creation of seven RTI online modules that support the statewide implementation. These modules provide general support of districts considering RTI implementation, including PBIS. The ESC content specialist can also utilize these modules to provide targeted support to districts that belong to their ESC. The RTI State Advisory is providing input on future modules.

Multiple RTI fidelity assessments (see details in Data Implementation and Outcomes Section) are showing promising implementation outcomes in the four targeted districts. The PBIS Tiered Fidelity Assessment was administered in 2015–2016 and 2016-2017 with Cohort I. An increase of 14 percentage points was due largely to the improvement of Tier I. Baseline data have been collected on the RTI Implementation Fidelity Rubric and a Literacy Fidelity Assessment and will be completed again in May or June 2017.

Student literacy and behavior outcome baseline data will be set in May 2017. The School-Wide Information System (SWIS) was implemented in the Cohort I schools in August 2017. Without a formal data collection method in the past, a relationship cannot be drawn between the decrease in office discipline referrals due to the implementation of PBIS until the 2017- 2018 school year.

Prior to the 2016-2017 school year, the first targeted SSIP district did not have an evidence-based, nationally normed literacy screener tool that was being implemented three times a year. In April 2016, the SPDG Core Management Team worked with the district literacy coordinator to choose a literacy screener is being implemented in the 2016-2017 school year. The SPDG Literacy RTI Coordinator has been monitoring the fall and winter literacy screener scores but a baseline will be set with May 2017 scores.

There have been measurable improvements in the SIMR in relation to targets. However, the baseline and the targets were based on a regular assessment no longer given and NCSC/MSAA. Even with a change of assessments in FFY 2014 and again in FFY 2015, student with disabilities in the buildings being served under the SPDG and SSIP saw movement towards reaching a proficient score or maintaining a proficient score in literacy. These students exceeded the target of 45.60% by 21.14 percentage points (see Exhibit I-17.13). Arkansas does not expect to see this type of gains for the FFY 2016 SSIP for the comparison will be based on the same normed regular assessment (Aspire) and MSAA, instead of two different regular assessments (Aspire and

PARCC) and MSAA.

Exhibit I-17.13: FFY 2015 Actual Data Results

Number of SWD who had valid assessment results for current and previous year (A)	Number of SWD who made gains or reached proficiency (B-D)	Percent of SWD in grades 3- 5 who made gains towards reaching a proficient score or maintained proficient score on the statewide literacy assessment	FFY 2015 Target	Target Met
442	**295**	**66.74%**	**45.60%**	**Y**

Section Six: Plans for Next Year

The ADE will continue to implement two coherent improvement strategies. Relative to Strategy One, the Cross Unit Team will continue to meet every two weeks to work on the system of support. The Team is currently completing an ADE department-wide initiative inventory. The inventory will help identify all the supports each Unit within the ADE offers to districts. This will help the Team to identity supports across the ADE that can be provided to districts, and determine key ADE supports that the Cross Unit Team can formally collaborate on The Cross Unit Team will then move to developing a Common Needs Assessment process to identify supports needed by LEAs in April 2017. This Needs Assessment process will involve stakeholder input through ESSA advisories who meet regularly.

Once a common needs assessment process has been formalized; protocols will delineate how the needs assessment will take place and ways in which supports are identified and disseminated to LEAs. The focus of the Cross Unit Team will be to define the organizational and internal ADE teaming structures needed to support this collaborative process by May 2018.

The Cross Unit Team will work with the national IDC IDEA Data Center and NCSI to formalize a survey by June 2017 to measure short term outcomes of ways in which the Cross Unit Team has increased their knowledge and skill level around the System's components. The Leading by Convening "Doing the Work Together Rubric" will be utilized in January 2018 to measure the intermediate goals of increasing the Cross Unit Team's collaborating on practice for key state Supports disseminated to districts.

The Cross Unit Team will continue to be involved in the NCSI Systems Alignment Cross State Learning collaborative. This collaborative will support the team's goals and next steps by providing intentional networking with other states and highlighting processes and tools that support infrastructure development. As part of that Collaborative, members of the Cross Unit Team will also continue to participate in an Affinity Group formed to learn about measuring infrastructure change.

Relative to Strategy Two, the State Implementation Team will continue to meet to assess, plan, and monitor statewide RTI supports. The State Implementation Team will review RTI data from districts receiving intensive RTI support and continue to meet with the RTI State advisory quarterly to gain stakeholder feedback of RTI implementation strengths and barriers. Additional online RTI modules will be developed to support RTI implementation statewide.

The SPDG will continue to support SSIP targeted districts. The SPDG Core Management Team will work with the Cross Unit Team to identity potential districts needing RTI support by August 2017. Once identified, the SPDG Core Management Team and School Improvement Unit staff will host joint meetings with these districts to discuss the intensive RTI supports to be provided. Targeted districts may commit to intensive multiple-year support through an application process. The SPDG is also working with The State Implementation Team to potentially develop and disseminate an intensive ESC RTI application during the 2017-2018 school year. This application would target a few ESCs that service districts needing intensive RTI support, allowing the SPDG Core Management Team to work directly with ESC staff to develop the ESCs capacity to support RTI.

The SPDG Core Management Team will continue to unitize the district professional development and coaching scope and sequence for any new districts. An increased focus will be placed on assessing district readiness and needs through the use of capacity and fidelity assessments, which will help the SPDG differentiate the scope and sequence. The Team will also continue to utilize the same district capacity assessment and school fidelity assessments that were used in Cohort I and II. The results for these assessments will be reported by the district or schools through their school improvement report.

Phase III activities will continue to be driven by internal and external stakeholder feedback and sound evaluation tools. The RTI Advisory will continue to meet quarterly to advise the state in RTI implementation and resources development. Stakeholder feedback on the development of the system of support will be critical to ADE's ability to effectively leverage resources and better support LEA needs. The feedback provided by the SSIP targeted schools will support the differentiation of the professional development and coaching support provided by the SPDG. The infrastructure evaluation and RTI tools will continue to guide the ADE in providing targeted services and supports and measure LEA outcomes.

SSIP APPENDIX I

TABLE OF CONTENTS

Arkansas State Systemic Improvement Plan Acronym Sheet

Acronym	Acronym Meaning
ADE	Arkansas Department of Education
ADE-SEU	Arkansas Department of Education - Special Education Unit
AIR	American Institute of Research
AR IDEAS	Arkansas' Internet Delivered Education for Arkansas Schools
ASU	Arkansas State University
CCE	Center for Community Engagement
DCA	District Capacity Assessment
DIT	District Implementation Team
EBP	Evidence-Based Practice
ESC	Education Service Cooperative
ESSA	Every Student Succeeds Act
LEAs	Local Education Agency's
MSAA	Multi-State Alternative Assessment
NCSC	National Center and state Collaborative
NCSI	National Center for Systemic Improvement
PARCC	Partnership for Assessment of Readiness for Collage and Career
PBIS	Positive Behavioral Interventions and Supports
PD	Professional Development
PSC	Public Sector Consultants
PTI	Parent Training and Information
RIT	Regional Implementation Team
RTI	Response to Intervention
SCA	State Capacity Assessment
SIMR	State Identified Measurable Results
SISEP	State Implementation of Scaling-up Evidence-based Practices Center
SPDG	State Personal Development Grant
SSIP	State Systematic Improvement Plan
SWD	Student with Disabilities
SWIS	Schoolwide Information System
TA	Technical Assistance

The University of North Carolina at Chapel Hill

State Capacity Assessment (SCA) for Scaling Up Evidence-Based Practices

Fixsen, D., Ward, C., Duda, M., Horner, R., & Blase, K.

2015

State Capacity Assessment (SCA) for Scaling up Evidence-Based Practices

August 2015

Dean Fixsen, Caryn Ward, Michelle Duda, Rob Horner*, Karen Blase

State Implementation and Scaling up of Evidence-based Practices Center

University of North Carolina at Chapel Hill
University of Oregon [*]

Related Information
www.scalingup.org

http://nirn.fpg.unc.edu/

Contents

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We ask that you let us know how you use these items so we can use your experience and data to improve and expand the assessment. Please respond to Caryn Ward (contact information below). Thank you.

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The primary purpose of the State Capacity Assessment (SCA) is to assist state agency, regional education agencies, and school districts implement effective innovations that benefit students. The *capacity* of a state to facilitate implementation refers to the systems, activities, and resources that are necessary to successfully adopt and sustain Effective Innovations.

Introduction

Purpose
The purpose of the State Capacity Assessment is to:
1. Provide a State Management Team with a regular measure of the state capacity for full and effective use of effective innovations
2. Provide a structured process for the development of a State Capacity Action Plan
3. Provide other State Education Agency (SEA) teams with information to monitor progress towards state capacity-building goals
4. Support a common infrastructure for effective education for all students

Timeframe
The assessment is completed twice a year in the Fall and Spring.

Respondents
The respondents are knowledgeable raters including State Transformation Specialists (STSs); relevant State Management Team (SMT), Design Team, and Regional Implementation Team (RIT) members; and other staff intentionally selected for their implementation knowledge, experience, and leadership in the state

Acronym Key (alphabetical):

District Capacity Assessment (DCA)	State Capacity Assessment (SCA)
District Implementation Team (DIT)	State Design Team (SDT)
Regional Implementation Team (RIT)	State Management Team (SMT)
Regional Capacity Assessment (RCA)	State Transformation Specialist (STS)

Related Resources:

Fixsen, D.L., Ward, C., Duda, M.A., Blase, K., & Horner, R. (2015). *State Capacity Assessment for Scaling Evidence-based Practices.* Chapel Hill, NC: National Implementation Research Network, State Implementation and Scaling up Center of Evidence Based Practices, University of North Carolina at Chapel Hill.

Fixsen, D. L., Naoom, S. F., Blase, K. A., Friedman, R. M., & Wallace, F. (2005). *Implementation Research: A synthesis of the literature.* Tampa, FL: University of South Florida, Louis de la Parte Florida Mental Health Institute, The National Implementation Research Network (FMHI

Publication #231). http://nirn.fpg.unc.edu/sites/nirn.fpg.unc.edu/files/resources/NIRN-MonographFull-01-2005.pdf

Blase, K., Fixsen, D., Metz, A., & Van Dyke, M. National Implementation Research Network (http://nirn.fpg.unc.edu/learn-implementation) and the Active Implementation Hub (www.scalingup.org).

Fixsen, D., & Sims, B. State Implementation and Scaling-up of Evidence-based Practices Center (www.scalingup.org) and the Capacity Assessment Database and Data Entry Hub (www.sisep.org) supported by Rob Horner, University of Oregon

Ward, C., St. Martin, K., Horner, R., Duda, M., Ingram-West, K., Tedesco, M., Putnam, D., Buenrostro, M., & Chaparro, E. (2015). District Capacity Assessment. University of North Carolina at Chapel Hill

Process and Key Roles

The SCA administration process consists of interacting with the SCA respondents by:

1. Introducing the SCA and its purpose
2. Providing an overview of the process for completing the SCA
3. Introducing the concepts or big ideas
4. Reading each item aloud and providing any necessary clarification
5. Facilitating the discussion and voting process
6. Recording the score for each item
7. Downloading data documents from sisep.org and sending them to the STSs or a designated team member no later than 5 business days post administration
8. Summarizing notes and observations and sending them to the STSs or a designated team member no later than 5 business days post administration. The notes are used to supplement the SCA scores to facilitate action planning by the State team

The key roles required to carry out the SCA administration process are described in the table below:

Administrator	• A trained individual responsible for leading the discussion and adhering to the SCA Administration Protocol. This individual typically is external to the State Team. • Administrators do not vote.
Facilitator	• An individual who has a relationship with the respondents and experience in the state who supports the Administrator by helping to contextualize items for respondents or provide examples of work in which the state has engaged. • Facilitators do not vote.
Note taker	• Records ideas shared for action planning, and any adaptive issues or parking lot items that are raised during administration. Note taker may participate in conversations to gain clarity for notes. • Note takers do not vote.
Respondents	• Respondents are knowledgeable raters including State Transformation Specialists (STSs); relevant State Management Team (SMT), Design Team, and Regional Implementation Team (RIT) members; and other staff intentionally selected for their implementation knowledge, experience, and leadership in the state • Respondents vote on each item.
Observer	• Observers are invited <u>with permission</u> of the State team to learn about the SCA process or the activities in the State. • Observers do not participate in discussions or votes.

Preparation for the SCA and Administration

Prior to administering the SCA the following should be in place:

1. The leadership of the state education agency (SEA) and the members of the **State Management Team (SMT)** agree to SCA administration and the commitment of time

2. Materials to be assembled in preparation for SCA administration include:
   a. Previously completed SCA forms and data or reports from previous SCAs if applicable
   b. Blank copies of the SCA items (paper or electronic) accessible to all respondents
   c. Data sources to inform SCA assessment (State Capacity **Implementation Plan** needed at a minimum)

Scoring

During an in-person meeting the SCA Administrator uses the *SCA Scoring Guide* to encourage the respondents to discuss each item and come to consensus on the final score for each item. The respondents score each item on a 0-2 point scale using a *simultaneous and public voting process*. This type of voting process facilitates participation of all respondents and neutralizes any potential power influences in the voting process. When asked to vote (e.g., "ready, set, vote."), respondents simultaneously hold up either two fingers to vote "fully in place," one finger to vote "partially in place," or a closed hand to vote "not in place."

The goal is to arrive at a consensus vote that is then recorded. If unanimous agreement is reached on the first vote the Administrator moves on to the next question. If not, the Facilitator invites an open but brief discussion of the reasons for differences in scoring. The group is asked to vote again. The goal is to reach consensus on this second vote. Consensus means that the voters in the minority can live with and support the majority decision on an item. If the voters in the minority persist in not being able to live with the majority vote, the Note Taker records the item and issue and the Facilitator encourages further

discussion at a later time. The results of the second vote are then recorded so that the results can be scored and graphed. If the team is unable to arrive at consensus on an item, the **SMT** may want to assure respondents have access to additional data sources prior to the next administration of the SCA.

Research Basis and Outcomes from the SCA Completion

The research basis of the SCA is derived from the implementation science research literature and the Active Implementation Frameworks. The Active Implementation Frameworks "help define what needs to be done (Effective Innovations), how to establish what needs to be done, who will do the work (effective implementation), and establish the hospitable environment for the work (enabling contexts) to accomplish the positive outcomes" (Blase, Fixsen et al., 2005). The Active Implementation Frameworks are universal and apply to any attempt to use Effective Innovations. Once an **Effective Innovation** has been identified, and the implementation teams have been established, the work is guided by active Implementation Teams using the Implementation Drivers, Improvement Cycles, and Implementation Stages.

The SCA assesses how **SEAs** support regions, districts, and schools in developing implementation capacity for use of an **Effective Innovation** to realize the desired outcomes.

SCA Items Mapping to Active Implementation Practices and corresponding subscales:

Implementation Practices and Subscales	SCA Item #:
SMT Investment	
• **Implementation Roles and Functions**	1, 2, 3
• **Coordination for Implementation**	4, 5, 6, 7, 8, 9, 10
• **Leadership**	11, 12
System Alignment	
• **Implementation Guidance Documents**	13, 14
• **State Design Team**	15, 16, 17
Commitment to Regional Implementation Capacity	
• **Resources for Regional Implementation Capacity**	18, 19, 20, 21, 22
• **Support for RIT Functioning**	23, 24, 25

Intended outcomes from SCA completion:
1. Review and utilize the summary report with (a) Total score, (b) Sub-scale Scores, and (c) Item Scores to identify areas of strength and need
2. Identify priorities to address within an action plan
3. Develop and create a State Capacity **Implementation Plan** that defines immediate and short-term actions to improve implementation capacity required to use Effective Innovations

Administration Prerequisites

SISEP provides training for each SCA Administrator. SISEP also arranges access to sisep.org, a web-based application that allows **State Management Teams** to complete, store, and view the results of the SCA. Team scores are entered electronically, and reports are generated during the scoring meeting to view (a) Total Scores, (b) Sub-scale Scores, and (c) Item Scores. These data are used to assess current

implementation supports, monitor progress across time, and plan actions that will improve implementation capacity.

SISEP.org User Types	Description
Coordinator	A coordinator can add surveys to a region, add users to a region, take surveys, and view reports.
Team Member	A team member may view reports for their state but not enter or manipulate data.

SCA Administration Fidelity Checklist

Protocol Steps	Step Completed?		
	Y=Yes **N=No** **N/A= unsure or not applicable**		
1. **Respondents Invited**-Administrator assures attendance of knowledgeable raters including STSs; relevant SMT, Design Team, RIT members; and others	Y	N	N/A
2. **Prepare Materials in Advance**-Administrator makes paper copies of a blank SCA (one for each member of the team) and sets up a room with a laptop, LCD projector, internet connection, and conference phone (video if possible)	Y	N	N/A
3. **Overview**-Administrator provides a review of SCA, purpose, definition of implementation capacity development, and instructions for voting	Y	N	N/A
4. **Administration**- Facilitator gives each member a copy of a blank SCA	Y	N	N/A
5. **Administration**-Blank SCA is projected on screen for entire team to review. If team is using sisep.org, the web based version is projected on the LCD screen	Y	N	N/A
6. **Administration**-Each question is read aloud. After reading a question, the Facilitator says, "ready, set, vote" and all respondents vote simultaneously and publicly to neutralize influence in the voting process (e.g. hold up 2 fingers to vote "fully in place," 1 finger to vote "partially in place," or a closed hand to vote "not in place" or holds up a card with the number 2, 1, or 0.	Y	N	N/A
7. **Administration**-Facilitator tallies the votes and notes agreement or discrepancies	Y	N	N/A
8. **Consensus**-If complete agreement is reached, move on to the next question. If not, the Facilitator invites an open and brief discussion of the reasons for differences in scoring. The group is asked to vote again. The goal is to reach consensus on this second vote. Consensus means that the voters in the minority can live with and support the majority decision on an item. If the voters in the minoritypersists in not being able to live with the majority vote, the Note Taker records the item and issue and the Facilitator encourages further discussion at a later time.	Y	N	N/A
9. **Recording**-Administrator documents each vote on sisep.org which is projected for all respondents to see, the Note Taker records votes on a back-up paper copy.	Y	N	N/A
10. **Repeat steps 7 through 10 until each item is completed**	Y	N	N/A
11. **Data summary**- After the last question has been asked and answered, the Administrator clicks the link on sisep.org to display graphs of total scores and subscale scores	Y	N	N/A
12. **Review**-While viewing the graphs, Administrator highlights all of the subscales that moved in a positive direction and celebrates progress toward 80% or better subscale scores	Y	N	N/A
13. **State Status Review**- Facilitator initiates a discussion of updates on achievements, progress, and major milestones or barriers that have occurred since previous administration	Y	N	N/A
14. **Action**-Facilitator asks respondents to discuss three domains they would like to set as action planning and reporting agenda items for their regular meetings	Y	N	N/A
15. **Conclusion**-Administrator thanks the team for their openness and for sharing in the discussion	Y	N	N/A
TOTAL:			

Scoring Form

State Name:	Date:
SCA Administrator:	Facilitator:
SCA Respondents:	
SCA Note Taker:	

Directions: The State Management Team and others complete the State Capacity Assessment (SCA) together by using the *SCA Scoring Guide* to discuss each item and come to consensus on the final score for each item. If the team is unable to arrive at consensus, additional data sources for each item are documented in the *SCA Scoring Guide* and should be used to help achieve consensus on future administrations. Scores are recorded on this *Scoring Form* below and then entered into SISEP.org.

Item	Score		
1. There is a State Management Team to provide leadership for the State Education Agency (SEA)	0	1	2
2. The SMT meets frequently to provide leadership	0	1	2
3. The SMT meeting agendas focus on implementation capacity development	0	1	2
4. SMT provides executive leadership for implementation capacity development	0	1	2
5. State Transformation Specialist (STS) role is identified	0	1	2
6. Each STS is physically located in the SEA department to facilitate communication	0	1	2
7. Each STS assumes major responsibility for supporting the development of implementation capacity at State, regional, district, and school levels	0	1	2
8. SMT provides necessary and sufficient funding for STS FTE	0	1	2
9. Each STS regularly provides the SMT with information about implementation capacity development	0	1	2
10. Each STS has regular direct access and contact with two or more members of the SMT	0	1	2
11. SMT regularly communicates their support for implementation capacity development efforts at both statewide and district meetings	0	1	2
12. SMT describes aspects of implementation and scaling using a variety of communication methods	0	1	2
13. SEA has a written process for identifying and supporting effective innovations in education	0	1	2
14. SEA outlines the provision of implementation supports as a primary purpose of regional educational agencies	0	1	2
15. The SEA (e.g. SMT and STSs) has a State Design Team (SDT)	0	1	2
16. The SDT uses effective team meeting processes.	0	1	2
17. State Design Team agendas include learning about and supporting the use of statewide implementation capacity	0	1	2
18. SMT allocates resources to regional implementation capacity development	0	1	2
19. SMT and STSs engage in Exploration Stage activities with regional education agencies (REAs) to develop the REAs implementation capacity	0	1	2
20. SMT and STSs engage in Installation Stage activities with REAs to develop implementation capacity	0	1	2

Scoring Form (continued)

	21. SMT and STSs provide support for the formation of Regional Implementation Teams (RITs)	0	1	2
	22. SEA assures RIT members have sufficient time dedicated to work of implementation capacity development	0	1	2
	23. SEA conducts regular assessments of RIT functioning	0	1	2
	24. SMT regularly reviews information and data about implementation and capacity development	0	1	2
	25. SMT engages in action planning using data and information	0	1	2

Scoring Guide

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
1. There is a State Management Team to provide leadership for the State Education Agency (SEA).	The SMT includes the Chief State School Officer (CSSO) and/or Deputy CSSO and State department of education decision makers who provide leadership for general education, special education and management	The SMT includes the Chief State School Officer (CSSO) and/or Deputy CCSO and some State department of education division leaders	The SMT includes the Chief State School Officer (CSSO) and/or Deputy CCSO and others who are invited as needed	SMT meeting minutes
2. The SMT meets frequently to provide leadership.	The SMT meets frequently (at least twice a month) to provide leadership for the State department of education	The SMT meets frequently (at least monthly) to provide leadership for the State department of education	SMT meets on occasion	SMT meeting minutes
3. The SMT meeting agendas focus on implementation capacity development	At least one SMT meetings each month includes sufficient time (typically one hour) to focus on implementation capacity development (e.g. implementation functions; organization and system change methods; implementation related data)	At least one SMT meeting each month includes some time (at least 30 minutes to focus on implementation content (e.g. implementation functions; organization and system change methods)	SMT meetings do not include implementation capacity development as a standing agenda item	SMT meeting minutes

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
4. SMT provides executive leadership for implementation capacity development	The CSSO and/or Deputy CSSO has assigned at least two SMT members to provide leadership for implementation capacity development in the State	The CSSO and/or Deputy CSSO has assigned one SMT member to provide leadership for implementation capacity development in the State	No SMT member has been assigned to provide leadership for implementation capacity development in the State	SMT meeting minutes or SMT member position descriptions
5. State Transformation Specialist (STS) role is identified	There are two or more people (general and special education) identified as "State Transformation Specialists" (STSs)	There is one person (general or special education) identified as a "State Transformation Specialist" (STS)	There is no one identified as a "State Transformation Specialist" (STS)	Position description Interview Protocol SMT Meeting Minutes
6. Each STS is physically located in the SEA department to facilitate communication	Each STS is physically located in the State department of education space	At least one STS is physically located in the State department of education space	No STS is physically located in the State department of education space	Position Description Office Assignments
7. Each STS assumes major responsibility for supporting the development of implementation capacity at State, regional, district, and school levels	There is an approved position description in the State department of education that specifies each STS is assigned to implementation and scaling leadership and coordination in the State	There is no approved position description that specifies the roles and responsibilities of STSs related to implementation capacity development in the State department of education although each STS is assigned tasks related to implementation and scaling leadership and coordination in the State	There is no approved position description and no assignments related to implementation and scaling leadership and coordination in the State	Position description
8. SMT provides necessary and sufficient funding for STS FTE	Each STS is funded full time with 1.0 FTE time dedicated to implementation and capacity development	Each STS is funded full time with at least .50 FTE time dedicated to implementation and capacity development	There is less than .25 FTE specific funding for STS time dedicated to implementation and capacity development	SMT meeting minutes Position description

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
9. Each STS regularly provides the SMT with information about implementation capacity development	Each STS attends each regularly scheduled SMT meeting and provides information about implementation capacity development	Each STS attends SMT meetings when invited and provides information about implementation capacity development	Each STS rarely or never attends SMT meetings and/or if in attendance does not provide information about implementation capacity development	SMT meeting minutes
10. Each STS has regular direct access and contact with two or more members of the SMT	Between SMT meetings each STS has direct access to and contact with two or more members of the SMT (e.g. general education and special education leaders; managing Assistant Superintendent and policy director) to discuss implementation progress, problems, and facilitators regarding developing implementation capacity in the state.	Between SMT meetings each STS has direct access to and contact with one member of the SMT (e.g. general education and special education leaders; managing Assistant Superintendent and policy director) to discuss implementation progress, problems, and facilitators regarding developing implementation capacity in the state.	Between SMT meetings each STS has no regular direct access to and contact with any members of the SMT	Meeting calendar appointments
11. SMT regularly communicates their support for implementation capacity development efforts at both statewide and district meetings	One or members of the SMT quarterly communicates their support for implementation capacity development efforts at both statewide and district meetings	One or more members of the SMT twice a year communicates their support for implementation capacity development efforts at both statewide and district meetings	SMT members do not communicate their support for implementation capacity development efforts at both statewide and district meetings	Meeting Agendas & Minutes

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
12. SMT describes aspects of implementation and scaling using a variety of communication methods	SMT members describe aspects of implementation and scaling using two or more communication methods (public meetings, newsletters, websites, etc.)	SMT members describe aspects of implementation and scaling using at least one communication method (e.g., public meetings, newsletters, websites, etc.)	No members of the SMT describe aspects of implementation and scaling in public meetings, newsletters, websites, etc.	Communication Plan

Memoranda

Documents |
| 13. SEA has a written process for identifying and supporting effective innovations in education | State Education Agency (SEA) has written and publicly available documents that describe methods for identifying and supporting effective innovations in education | State Education Agency (SEA) has written documents that describe methods for identifying and supporting effective innovations in education | State Education Agency (SEA) has no documents that describe methods for identifying and supporting effective innovations in education | Written documents |
| 14. SEA outlines the provision of implementation supports as a primary purpose of regional educational agencies | The SEA has written guidance documents that describe or require providing implementation supports to districts as a primary purpose of regional educational agencies (e.g. ESDs, ECs, Service Co-ops, AEAs, ISDs) | The SEA has verbally agreed that providing implementation supports to districts is a primary purpose of regional educational agencies (e.g. ESDs, ECs, Service, Co-ops, AEAs, ISDs) | The SEA has made no statement that describes providing implementation supports to districts is a primary purpose of regional educational agencies (e.g. ESDs, ECs, Service, Co-ops, AEAs, ISDs) | SMT meeting minutes

Written documents

RFAs for grants and/or contracts |

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
15. The SEA (e.g. SMT and STSs) has a State Design Team (SDT)	The SEA (e.g. SMT and STSs) has a State Design Team (SDT) with eight or more members including leaders from each of the major initiatives/departments in the State to assure cross-departmental team representation	The SEA has a SDT made up of four or more members including leaders of major initiatives within a single department of the SEA.	The SEA (e.g. SMT and STSs) does not have a State Design Team (SDT)	List of team members, roles, and job titles
16. The SDT uses effective team meeting processes.	The State Design Team meets at least once each month with 80% to 100% attendance at each meeting -AND- Meeting roles are defined and consistently assigned and used (e.g., facilitator, recorder) -AND- Process is in place and used for absent team members to receive updates shortly following the meeting -AND- Team completes assignments and documents progress outlined on an action plan within designated timelines	The State Design Team meets at least once every other month with 80% to 100% attendance at each meeting -AND- Meeting roles and responsibilities are not well-defined or are inconsistently used during the meeting -OR- Absent team members are inconsistently updated following meetings -OR- Assignments are inconsistently completed within the designated timelines	The State Design Team meets occasionally with unpredictable attendance at each meeting	Meeting schedule Meeting Agendas, Minutes, and Attendance

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
17. State Design Team agendas include learning about and supporting the use of statewide implementation capacity	State Design Team agendas include learning about and supporting the use of statewide implementation capacity by: • Promoting the blending of implementation functions across initiatives (e.g. RFP requirements) • Making recommendations regarding redeployment or reallocation of responsibilities and resources (e.g. position descriptions) • Promoting aligned data systems to inform decisions • Regularly reviewing implementation and outcome data (e.g. fidelity, effort, outcomes) • Continually improving implementation capacity in the form of RITs	State Design Team agendas include learning about and supporting the use of statewide implementation capacity by: • Promoting the blending of implementation functions across initiatives (e.g. RFP requirements) • Making recommendations regarding redeployment or reallocation of responsibilities and resources (e.g. position descriptions)	State Design Team agendas usually are not related to statewide implementation capacity development	Meeting minutes Meeting Materials Data Reports

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
18. SMT allocates resources to regional implementation capacity development	The SMT allocates sufficient resources (time, personnel, materials, etc.) to regional agencies specifically for developing regional implementation capacity	The SMT allocates limited resources (time, personnel, materials, etc.) to regional agencies specifically for developing regional implementation capacity	The SMT does not allocate resources (time, personnel, materials, etc.) to regional agencies related to developing regional implementation capacity	General fund budget allocations Contract budget allocations Grant budget allocations
19. SMT and STSs engage in Exploration Stage activities with regional education agencies (REAs) to develop the REAs implementation capacity	The SMT and STSs engage in Exploration Stage activities with REAs including at least: • Meeting(s) with REA leadership to discuss the benefits of developing the REA's implementation capacity • Decision-making protocol to arrive at a mutual decision to proceed (or not) with implementation capacity development work within a region • Readiness activities that will get REAs prepared for engaging in Installation Stage work with the SMT and STSs	The SMT and STSs engage in only a few of the Exploration Stage activities with REAs • Decision-making protocol to arrive at a mutual decision to proceed (or not) with implementation capacity development work within a region	The SMT and STSs do not engage in Exploration Stage activities with REAs	Documentation of Exploration Stage activities with REAs and which REAs and REA staff have participated in those activities. Decision making protocol for mutual selection

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
20. SMT and STSs engage in Installation Stage activities with REAs to develop implementation capacity	SMT and STSs engage in Installation Stage activities with REAs including at least: • Assistance in the formation of Regional Implementation Teams (RITs) • Collection of baseline regional capacity data • Action planning based on baseline data that includes next steps to engage in installation stage activities • Initiate training of RIT members to assure the knowledge, skills, and abilities necessary for successful district implementation • Co-facilitation of meetings with RIT membership and leadership that focus on capacity development and action planning • Coaching of RIT members to build fluency in using implementation science	SMT and STSs engage in only a few of the Installation Stage activities with REAs • Assistance in the formation of Regional Implementation Teams (RITs) • Collection of baseline regional capacity data • Action planning based on baseline data that includes next steps to engage in installation stage activities	SMT and STSs do not engage in Installation Stage activities with REAs	Documentation outlining Installation Stage based implementation activities and which regions have received those supports

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
21. SMT and STSs provide support for the formation of Regional Implementation Teams (RITs)	SMT and STSs provide guidance and ongoing feedback on the selection process for RIT composition by focusing on the following key features: • Cross-departmental team composition (e.g., general education and special education) • Team size (five or more team members) • Experience of team members (e.g., successful use of Effective Innovations (EIs), positive relationships with staff, adequate time to fulfill responsibilities) -AND- RIT selection process results are used to strengthen the SEA staff's Exploration and Installation Stage activities	SMT and STSs provide guidance and ongoing feedback on the selection process for RIT composition by focusing on some of the key features related to forming a RIT	SMT and STSs provide no support or guidance related to the selection process for RIT composition	List of RIT members and job titles Team selection criteria Team selection protocols Evidence of changes and improvements in Exploration and Installation Stage activities

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
22. SEA assures RIT members have sufficient time dedicated to work of implementation capacity development	The SEA (e.g. SMT and STSs) assures or confirms that at least 3 RIT member has at least 0.50 FTE time dedicated to the implementation capacity development work of the RIT	The SEA (e.g. SMT and STSs) assures or confirms that at least 3 RIT member has at least 0.25 FTE time dedicated to the implementation capacity development work of the RIT	RIT membership does not meet the qualification for a one point score.	Written documents
23. SEA conducts regular assessments of RIT functioning	The SEA (e.g. SMT and STSs) conducts assessments of RIT functioning (e.g., Regional Capacity Assessment) at least two times each year -AND- RIT assessment results are used to strengthen the SEA staff's Exploration and Installation Stage activities and improve SEA supports for RIT implementation fluency	The SEA (e.g. SMT and STSs) conducts assessments of RIT functioning (e.g., Regional Capacity Assessment) at least once each year -AND- RIT assessment results are used to strengthen the SEA staff's Exploration and Installation Stage activities and improve SEA supports for RIT implementation fluency	Assessments of RIT functioning are not conducted -OR- RIT assessment results are not used to improve SEA supports for RIT implementation fluency.	Assessment results & reports STS and REA Action plans

Item	2 Points (Fully in Place)	1 Point (Partially in Place)	0 (Not in Place)	Data Source
24. SMT regularly reviews information and data about implementation and capacity development	At least annually, the SMT reviews regional, district, and school data regarding the: • presence and quality of implementation supports, • fidelity of use of education innovations, and • impact on student outcomes	At least annually, the SMT reviews regional, district, and school data regarding the: • presence and quality of implementation supports	The SMT does not review regional, district, and school data related to implementation supports	Meeting Minutes Reports
25. SMT engages in action planning using data and information	The SMT regularly reviews (at least quarterly) results of action planning and action plans are adjusted as needed to enhance implementation and capacity development (practice- policy communication cycle)	The SMT regularly reviews (at least annually) results of action planning and action plans are adjusted as needed to enhance implementation and capacity development (practice-policy communication cycle)	The SMT does not have action plans related to implementation and capacity development	Meeting Minutes Action plans

Scoring the SCA

The SCA generates four scores: (a) Total score: the mean of scores for all 40 items, (b) Subscale scores: the mean of scores for each of the 11 subscales, (c) Sub-Subscale Scores: the mean of scores for each domain, and (d) individual item scores.

For Web-based Scoring
If you are not registered on sisep.org for data entry and generating reports, please contact Caryn Ward caryn.ward@unc.edu to learn more about access requirements.

For Manual Scoring
The table below is used to provide to build sub-scale and total scores when the SCA is completed by hand.

Subscale/Sub Subscale	# of Items	Actual Points / Points Possible	Percentage of Points: Actual/Possible	Subscale Total Points/Points Possible	Total # of Items with a score of 0 or 1*
SMT Investment					
Implementation Roles and Functions	3	___ / 6			
Coordination for Implementation	7	___ / 14		___ / 24	
Leadership	2	___ / 4			
System Alignment					
Implementation Guidance Documents	2	___ / 4			
State Design Team	3	___ / 6		____/10	
Commitment to Regional Implementation Capacity					
Resources for Regional Implementation Capacity	5	___ / 10			
Support for RIT Functioning	3	___ / 6		____/16	
SCA Total Scores: Points Possible and Percentage	25	**Sum ___ /50**	**___ /100**	____/50	

Action Planning and Summary

For any item listed below a "2" consider actions that may be completed within the next 3 to 6 months. Define the action, designate who is responsible for leading the action planning, decide when the actions it will be accomplished, and decide when updates on the actions will be reviewed to monitor progress and solve problems.

Item	Actions	Who	When	Next Update
Section 1: State Management Team (SMT) Investment				
Implementation Roles and Functions				
Coordination for Implementation				
Leadership				
Section 2: System Alignment				
Implementation Guidance Documents				
State Design Team				
Section 3: Commitment to Regional Implementation Capacity				
Resources for Regional Implementation Capacity				
Support for RIT Functioning				

# District Capacity Assessment

Version 6.0

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State Implementation & Scaling-up of Evidence-based Practices
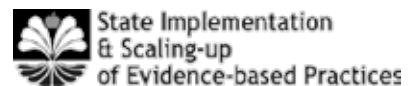
email: sisep@unc.edu
web: http://www.scalingup.org

Effective implementation capacity is essential to improving education.
The State Implementation & Scaling-up of Evidence-based Practices Center
supports education systems in creating implementation capacity for
evidence-based practices benefitting students, especially those with disabilities.

nirn National Implementation Research Network

email: nirn@unc.edu
web: http://nirn.fpg.unc.edu

The mission of the National Implementation Research Network (NIRN)
is to contribute to the best practices and science of implementation,
organization change, and system reinvention to improve
outcomes across the spectrum of human services.

Table of Contents

> The primary purpose of the District Capacity Assessment (DCA) is to assist school districts to implement effective innovations that benefit students. The *capacity* of a district to facilitate building-level implementation refers to the systems, activities, and resources that are necessary for schools to successfully adopt and sustain Effective Innovations.

Introduction and Purpose

The specific purposes of the DCA are to:

1. Provide a **District Implementation Team (DIT)** with a structured process for the development of a District Capacity Action Plan

2. Provide a DIT with information to monitor progress towards district, regional, and state capacity building goals

3. Support a common infrastructure for the implementation of **Effective Innovations (EI)** to achieve desired outcomes for students

4. Provide district, regional and state leadership with a regular measure of the **capacity** for implementation and sustainment of Effective Innovations in districts

Focus of the DCA

The DCA is administered with a specific innovation (e.g. Early Literacy, Positive Behavioral Interventions and Support, Multi-Tier System of Supports) in mind. *An **Effective Innovation** is any set of operationally defined practices used in a defined context (e.g. schools) to achieve defined outcomes.* It is important to choose one innovation and answer the DCA questions with that innovation in mind.

Schedule and Timeframe of DCA Administration

In January/February, the DIT formally completes the DCA with the assistance of a trained administrator and facilitator. For progress monitoring purposes, the DCA is re-administered in July/August to refine the **District Capacity Action Plan**. During the DCA administration to monitor progress, the team reviews previous DCA scores, updates scores based on recent progress, and adjusts the District Capacity Action Plan as necessary. It is acceptable, however, for a district to complete the DCA at any point during the year that would help achieve targeted functions/purposes.

Given the importance of the process and the complexity of the items, the anticipated duration to complete the DCA is one to two hours. Exact times will depend on the number of individuals participating and the familiarity of the team with the DCA and the process. The first implementation of the DCA typically takes more time than subsequent administrations. Preparing key documents prior to the DCA reduces the time for implementation (see page 5 for list of documents).

Process and Key Roles

The formal administration process consists of introducing the DCA and its purpose, providing an overview of the administration process and scoring, introducing the concepts or big ideas, reading each

item aloud and providing any necessary clarification, facilitating the discussion and voting process, and recording the score for each item. Information about key roles are provided in the table below:

DCA Administrator	• A trained individual responsible for leading the discussion and adhering to the DCA Administration Protocol. This individual is preferably external to the district team and does not vote.
Facilitator	• An individual who has a relationship with the respondents and experience in the district and who supports the Administrator by helping to contextualize items for respondents or provide examples of work in which the district has engaged.
Note Taker	• Records ideas shared for action planning and any questions and issues that are raised during administration.
Respondents	• Respondents are knowledgeable raters including District Implementation Team (DIT) members and other staff intentionally selected for their implementation knowledge, experience with the innovation being used, and leadership in the district.
Observer	• Observers are invited <u>with permission</u> of the district team to learn about the DCA process or the activities in the district. Observers do not vote.

Preparation for the DCA and Administration

Prior to launching into the administration of the DCA the following should be in place:

1. District Implementation Team agrees to DCA administration and the commitment of time

2. Materials to be assembled in preparation for DCA administration include:
   a. Previously completed DCA forms and/or data/reports from previous DCAs if applicable
   b. Blank copies (paper or electronic) accessible to all respondents
   c. Data sources to inform DCA assessment (District Improvement Plan needed at a minimum)

Roles and Job Descriptions

List of DIT members, roles, and job titles   Executive Leader job description
Listing of BIT members   DIT Coordinator job description
     Interview protocol (including procedures used during the selection process)

Team Processes

DIT Meeting schedule   Meeting Agendas, Minutes, and Attendance
DIT linking communication protocols   Graphic of problem-solving process used

Guidance Documents

Documentation of EI selection procedure   Documentation of linking EIs
Process documentation for sharing of policy relevant information to regional and state organizations   Process documentation for addressing internal district barriers

Budget

Professional Learning budget allocations   Grant budget allocations

Plans

DIT implementation plan for EI

Sample BIT implementation plans

Sample of coaching service delivery plans

Communication plan

Documentation of implementation plan monitoring

Sample of staff professional learning plans

District professional learning schedule

Data and Measures

Fidelity measure

Practice Profile for EI

Training outcome data

Coaching effectiveness data

Fidelity assessment data (feedback data)

Evidence of performance feedback process

Sample Data Reports

Sample School Board Status Report

Sample stakeholder Reports

Scoring

The District Implementation Team completes the DCA together by using the *DCA Scoring Guide* to discuss each item and come to consensus on the final score for each item. The respondents score each item on a 0-2 scale utilizing a *simultaneous and public voting process*. This type of voting process facilitates participation of all respondents and neutralizes any potential power influences in the voting process. When asked to vote (e.g. "Ready, set, vote."), respondents simultaneously hold up either two fingers to vote "fully in place," one finger to vote "partially in place," or a closed hand to vote "not in place."

If the team is unable to arrive at consensus, additional data sources for each item are documented in the *DCA Scoring Guide* and should be used to help achieve consensus. Consensus means that voters in the minority can live with and support the majority decision on an item. If consensus is not able to be reached, the Facilitator encourages further discussion at a later time and the majority vote is recorded so that the results can be scored and graphed.

Research Basis and Outcomes from the DCA Completion

The research basis of the DCA is derived from the implementation science research literature and its Active Implementation Frameworks (Fixsen, Naoom et al., 2005). The Active Implementation frameworks "help define what needs to be done (effective interventions), how to establish what needs to be done, who will do the work (effective implementation), and establish the hospitable environment for the work (enabling contexts) to accomplish the positive outcomes" (Blase, Fixsen et al., 2005). The Active Implementation Frameworks are universal and apply to any attempt to use Effective Innovations. The frameworks consist of Usable Innovations, Implementation Teams, Implementation Drivers, Improvement Cycles, and Implementation Stages.

The Implementation Drivers assessed by the DCA:

- **Leadership -** Active involvement in facilitating and sustaining systems change to support implementation of the effective innovation through strategic communication, decisions, guidance, and resource allocation

- **Competency** - Strategies to develop, improve, and sustain educators' ability to implement an Effective Innovation as intended in order to achieve desired outcomes. Competency Drivers include: **Performance Assessment, Selection, Training, and Coaching**
- **Organization** – Strategies for analyzing, communicating, and responding to data in ways that result in continuous improvement of systems and supports for educators to implement an effective innovation. Organization Drivers include: **Decision Support Data System, Facilitative Administration, and Systems Intervention**

DCA Items Mapping to Drivers Domains and corresponding subscales:

Implementation Drivers and Subscales	DCA Item #:
Leadership	
• Leadership	1, 2, 3, 7, 17
• Planning	8, 9, 18
Competency	
• Performance Assessment	13, 26
• Selection	20, 21
• Training	22, 23
• Coaching	24, 25
Organization	
• Decision Support Data Systems	14, 15, 19
• Facilitative Administration	4, 5, 6, 10, 11, 16
• Systems Intervention	12

Outcomes from DCA completion:

1. Summary report with (a) Total score, (b) Sub-scale Scores and (c) Item Scores

2. Action plan for identifying immediate and short-term activities to improve district capacity to implement effective innovations

Administration Prerequisites

To assist districts in improving their capacity to implement effective innovations, administrators are required to successfully complete the DCA Administration online short course (http://implementation.fpg.unc.edu).

SISEP.org is a web-based application that allows District Implementation Teams to complete the DCA. Team scores are entered electronically, and reports are generated to view (a) Total Scores, (b) Sub-scale Scores, and (c) Item Scores. These data are used to assess current level, monitor progress across time, and plan actions that will improve capacity to implement evidence-based practices.

To access SISEP.org, DIT members are provided with a user ID, user type, and permission to enter DCA data and access reports. A user type and level of permission are determined and set by either the National SISEP Center, State Education Agency (SEA), or Regional Entity SISEP.org Coordinator. Note that once access is granted to a district, the user has access to view all of the district's DCA data. The user types that can be assigned to a user are listed below in the table.

SISEP.org User Types	Description
Coordinator	A coordinator can add surveys to a district, add users to a district, take surveys, and view reports.
Team Member	A team member may only view reports.

We ask that you let us know how you use the DCA so we can use your experience and data to improve and expand the assessment. Please respond to Caryn Ward (contact information below). Thank you.

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DCA Administration Fidelity Checklist

Protocol Steps	Step Completed?		
	Y=Yes; N=No N/A= unsure or not applicable		
1. **Respondents Invited**- Administrator and/or Facilitator invites knowledgeable raters including DIT members and others	Y	N	N/A
2. **Materials Prepared in Advance**- Administrator and/or Facilitator ensures that copies (paper or electronic) of a blank DCA are available for each member and ensures that a room is set up with a laptop, projector, internet connection, and conference phone (video if possible) for any participants joining remotely	Y	N	N/A
3. **Overview**- Administrator provides a review of DCA, purpose, and instructions for voting	Y	N	N/A
4. **Administration**- Blank DCA is projected on screen for entire team to view. If team is using SISEP.org, the web based version is projected on the screen	Y	N	N/A
5. **Administration**- Each question is read aloud. After the Administrator reads a question, the Facilitator says, "ready, set, vote" and all respondents vote simultaneously and publicly to neutralize influence during the voting process (e.g. hold up 2 fingers to vote "fully in place," 1 finger to vote "partially in place," or a closed hand to vote "not in place" or holds up a card with the number 0, 1, or 2)	Y	N	N/A
6. **Administration**- Facilitator tallies the votes and notes agreement or discrepancies for each question	Y	N	N/A
7. **Consensus**- If complete agreement is reached move on to the next question. If not, the Facilitator invites an open, brief discussion of the reasons for differences in scoring. The group is asked to vote again. The vote can occur multiple times at the discretion of the Facilitator. The goal is to reach consensus. Consensus means that the minority voters can live with and support the majority decision on an item. If the minority persists in not being able to live with the majority vote, the Facilitator encourages further discussion at a later time and the majority vote is recorded so that the results can be scored and graphed.	Y	N	N/A
8. **Recording**- Administrator documents each scoring decision on sisep.org which is projected for all respondents to see, or on the paper copy used to record all votes	Y	N	N/A
9. **Data summary**- After the last question has been asked and answered, the Administrator clicks the link on SISEP.org to display graphs of total scores and subscale scores	Y	N	N/A
10. **Review**- While viewing the graphs, Administrator highlights all of the subscales that moved in a positive direction and celebrates progress toward 80% or better subscale scores	Y	N	N/A
11. **District Status Review**- Facilitator initiates a discussion of updates on achievements, progress, and major milestones or barriers that have occurred since previous administration	Y	N	N/A
12. **Action**- Facilitator asks respondents to discuss three domains they would like to set as agenda items for their regular meetings	Y	N	N/A
13. **Planning**- If there is not sufficient time for #11 and #12 the Facilitator ensures that a date and time are set for the District Status Review and Action related to selecting domains	Y	N	N/A
14. **Conclusion**- Administrator thanks the team for their openness and for sharing in the discussion	Y	N	N/A

Comments/Notes:

District Capacity Assessment (DCA): Scoring Form

District Name: Date:

DCA Administrator: Facilitator:

Effective Innovation: DIT Members:

Directions: The District Implementation Team completes the District Capacity Assessment (DCA) together by using the *DCA Scoring Guide* to discuss each item and come to consensus on the final score for each item. If the team is unable to arrive at consensus, additional data sources for each item are documented in the *DCA Scoring Guide* and should be used to help achieve consensus. Scores are recorded on this *Scoring Form* below and then entered into SISEP.org.

Item	Score		
1. There is a District Implementation Team (DIT) to support implementation of Effective Innovations (EI)	2	1	0
2. DIT includes someone with **executive leadership** authority	2	1	0
3. DIT includes an identified **coordinator** (or coordinators)	2	1	0
4. DIT uses an effective team meeting process	2	1	0
5. District outlines a formal procedure for selecting EIs through the use of **guidance documents**	2	1	0
6. District documents how current EIs link together	2	1	0
7. Funds are available to support the implementation of the EI	2	1	0
8. District has an **implementation plan** for the EI	2	1	0
9. DIT actively monitors the implementation of the plan	2	1	0
10. District utilizes **a communication plan**	2	1	0
11. District uses a process for addressing internal barriers	2	1	0
12. District uses a process to report **policy relevant information** to outside entities	2	1	0
13. DIT supports the use of a **fidelity** measure for implementation of the EI	2	1	0
14. DIT has access to data for the EI	2	1	0
15. DIT has a process for using data for decision making	2	1	0
16. District provides a status report on the EI to the school board	2	1	0
17. **Building Implementation Teams (BITs)** are developed and functioning to support implementation of EIs	2	1	0
18. BIT implementation plans are linked to district improvement plan	2	1	0
19. BITs have a process for using data for decision making	2	1	0
20. District uses a process for selecting staff (internal and/or external) who will implement and support the EI	2	1	0
21. Staff members selected to implement or support the EI have a plan to continuously strengthen skills	2	1	0
22. DIT secures training on the EI for all district/school personnel and stakeholders	2	1	0
23. DIT uses training effectiveness data	2	1	0
24. DIT uses a **coaching service delivery plan**	2	1	0
25. DIT uses coaching effectiveness data	2	1	0
26. Staff performance feedback is on-going	2	1	0

Scoring Guide

DCA Item:	2 points	1 point	0 points	Data Source
1. There is a District Implementation Team (DIT) to support implementation of Effective Innovations (EI)	A team is developed and is • Representative of the district (e.g., K-12) • Of functional size	A team is developed and representative of the district -HOWEVER- The size of the team is not functional (e.g., too large or too small) to effectively accomplish work	There is not a team -OR- Team composition is not representative of the district	List of team members, roles, and job titles
2. DIT includes someone with executive leadership authority	DIT includes someone with executive leadership authority to approve and support team decisions (e.g., adequate funding, resource allocation, Information Technology - IT support, and positions) -AND- Attendance at meetings is regular -AND- When scheduling conflicts occur, the leader makes sure (s)he is provided with relevant information (decisions and potential barriers that need to be addressed by other district leaders) within 1-2 days after the meeting	DIT includes someone who has executive leadership authority to approve and support team decisions -AND- Attendance at meetings is regular -HOWEVER- When scheduling conflicts occur there is not a mechanism for the leader to be provided with relevant information within 1-2 days after the meeting	There is no one with executive leadership authority represented on the DIT -OR- The executive leader's attendance at meetings is infrequent	Executive leader job description List of team members, roles, and job titles Linking communication protocol
3. DIT includes an identified coordinator (or coordinators)	Coordinator assumes a lead role in preparing for and facilitating the DIT meetings, agenda topics and monitoring completion of	DIT includes a designated coordinator -AND- Coordinator assumes a lead role	DIT does not include a designated coordinator -OR- The coordinator does not assume	Coordinator job description

DCA Item:	2 points	1 point	0 points	Data Source
	assigned actions -AND- Coordinator is knowledgeable about the selected EI and implementation science in order to make recommendations to the DIT and the executive leader overseeing the DIT -AND- Coordinator has adequate time to fulfill responsibilities	in preparing for and facilitating the DIT meetings, agenda topics and monitoring completion of assigned actions -HOWEVER- The coordinator needs to deepen knowledge of the EI to make recommendations to the DIT and the executive leader overseeing the DIT. -OR- Time is not adequate to fulfill responsibilities given the scope of the work and/or the size of the district being supported	a lead role in making recommendations to the DIT or facilitating meetings	
4. DIT uses an effective team meeting process	DIT meets in person monthly (during the school year) or more frequently depending on amount of work -AND- Meeting roles are consistently assigned and used (e.g., facilitator, recorder, time keeper, norms monitor) -AND- Process is in place for absent team members to receive updates shortly following the meeting -AND- Team documents and completes assignments outlined on an	DIT meets in person monthly or more frequently depending on amount of work -HOWEVER- Meeting roles and responsibilities are inconsistently used during the meeting -OR- Absent team members are inconsistently updated following meetings -OR- Assignments are inconsistently completed within the designated timelines	It is difficult to establish an effective team meeting process due to meeting less frequently than monthly -OR- Inconsistent attendance by team members	Meeting schedule Meeting Agendas, Minutes, and Attendance

DCA Item:	2 points	1 point	0 points	Data Source
	action plan within designated timelines			
5. District outlines a formal procedure for selecting EIs through the use of **guidance documents**	Guidance documents and formal procedures are in place -AND- Procedure to select an EI includes an analysis of the following variables: Need for the EI; Fit and alignment with other EIs/initiatives/programs; Resources needed to fully implement; Evidence to demonstrate effectiveness; Maturity of the EI; Capacity within the district to successfully implement the EI (e.g. Hexagon Tool) -AND- Procedure is consistently used	A formal procedure is in place -BUT- The procedure to select an EI includes an analysis of only some (at least half) of the following variables: Need; Fit; Resources; Evidence; Maturity of the EI; Capacity to implement -OR- The procedure is not consistently used	No formal procedure is in place -OR- The procedure to select an EI includes only one or two of the following variables: Need; Fit; Resources; Evidence; Maturity of the EI; Capacity to implement	Guidance documents Documentation showing how the procedure has been used within the past 2 years
6. District documents how current EIs link together	Documentation displays new and existing EIs the district supports -AND- Documentation includes statements regarding how all EIs are compatible and add value to one another to achieve improved implementation and student outcomes	Documentation displays the new and existing EIs the district is supporting -BUT- It is unclear how the initiatives/practices are compatible and add value to one another	There is no documentation of how new and existing EIs are compatible -OR- Documentation was once created but has not been updated in the past 2-3 years, making it obsolete	Document displaying how all EIs are linked or compatible
7. Funds are available to	There is evidence of commitment to sustain funding for on-going	There is evidence of commitment to funding for the EI for a	There is no commitment to funding the EI	Professional Learning budget

DCA Item:	2 points	1 point	0 points	Data Source
support the implementation of the EI	implementation and scale-up of the selected EI	minimum of one year or less		allocations Grant budget allocations
8. DIT has an implementation plan for the EI	The plan is updated as needed using: • Fidelity data • Student outcome data • Capacity data (e.g., Organization, Competency, Leadership data) • Scale up data (e.g., each school's stage of implementation) -AND- The plan's goals are **S.M.A.R.T.** and include strategies/activities to achieve the goals -AND- The plan has been approved by executive leadership -AND- The plan for implementing the EI is integrated into the district's continuous improvement planning process	The plan is developed and focuses most heavily on: • Fidelity data • Student outcome data -AND- The plan has been approved by executive leadership -BUT- The plan is lacking in strategies to address: • Capacity data • Scale up data -OR- The plan includes only broad goals to implement the EI, not S.M.A.R.T. goals and strategies/activities -OR- The plan has not yet been fully integrated into the continuous improvement planning process but the intent is to do so	There is not a plan -OR- District has no goal(s) to implement the EI -OR- The plan focuses primarily on a training plan for the EI but fails to encompass a minimum of two of the following: • Fidelity data • Student outcome data • Capacity data • Scale up data -OR- The plan has not been approved by executive leadership	District implementation plan Record of approval (meeting minutes or other written communication, signature)
9. DIT actively monitors implementation of the plan	DIT monitors implementation of the plan a minimum of three times per year -AND- Monitoring includes documentation of:	DIT monitors the plan three times per year -HOWEVER- Monitoring only includes documentation of: • Completion status of	DIT monitors the plan less than three times per year	Documentation of monitoring

DCA Item:	2 points	1 point	0 points	Data Source
	• Completion status of activities • Reasons activities were not completed (e.g. insufficient funding, training) • Team decisions (e.g., provide required resources to complete activities, next steps with communication of barriers)	activities • Reasons activities were not completed (e.g. insufficient funding, training)		
10. District utilizes a communication plan	The plan is written and accessible to all staff -AND- The plan includes all of the following components: • List of stakeholder groups identified in the district's organizational chart (e.g., outside agencies, families) • Type of information to share and receive from identified stakeholders • Who is responsible for communication with each group • Frequency and methods of communication • Plan to evaluate communication method and data at least annually	The plan is in the process of being written and accessible to all staff -AND- Currently, communication is informally happening and/or is dependent on one main person -OR- The plan focuses primarily on following components: • List of stakeholder groups identified in the district's organizational chart (e.g., outside agencies, families) • Who is responsible for communication with each group • Frequency and methods of communication	There is not a plan for communication -OR- Stakeholders are reporting communication to be ineffective	Communication plan Stakeholder report summaries indicating communication has been effective

DCA Item:	2 points	1 point	0 points	Data Source
	-AND- Stakeholders report the communication has been effective			
11. District uses a process for addressing internal barriers	A formal process is in place (e.g., specific documents and steps) -AND- The process is consistently used to remove internal barriers (e.g., policy and guidance documents revised to support new ways of work, resources are allocated/re-allocated)	The process is informal -OR- The process is used inconsistently across all situations that would warrant use	There is not a process -OR- The process is not used for addressing internal barriers preventing successful implementation of the EI	Guidance document outlining process Documentation showing how the process has been used in the past six months (e.g., examples of identifying a barrier, defining a solution, and implementing the solution with effect)
12. District uses a process to report policy relevant information to outside entities	A formal process is in place to report policy relevant information (e.g., state/federal laws, mandated use of funds, bargaining agreements) to **regional units**, state department of education, etc. -AND- The process is consistently used for reporting to outside entities	The process is informal -OR- The process is used inconsistently across all situations that would warrant use	There is not a process -OR- The process is not used for reporting policy-relevant information to the regional unit or state department	Guidance document outlining process Evidence of use
13. DIT supports the use of a fidelity measure for implementation	DIT supports schools to use a research validated fidelity measure as recommended that is highly correlated with (i.e.,	DIT supports schools to use a fidelity measure for the EI as recommended, but the measure is currently in development (i.e.,	DIT does not support schools to use any fidelity measures for the EI -OR-	Fidelity measure or practice profile

DCA Item:	2 points	1 point	0 points	Data Source
of the EI	predictive of) intended outcomes for the EI	not yet correlated with outcomes or research validated) -OR- District has developed practice profiles to operationalize the EI for use in developing a fidelity measure	DIT does not support schools to use the fidelity measure as recommended (e.g., frequency, audience)	Data (e.g., local or published) demonstrating that fidelity predicts intended outcomes
14. DIT has access to data for the EI	All of the following data are accessible for the DIT to analyze: • Fidelity data • Student outcome data (e.g., **universal screening data, progress monitoring data**, and **summative assessment** data) • Capacity data (e.g., DCA, Assessing Drivers Best Practices) • Scale up data (e.g., Stages of Implementation Analysis: Where are we now)	The DIT only has access to at least two of the following types of data, but not all types: • Fidelity data • Student outcome data • Capacity data • Scale up data	No data are accessible -OR- Data accessible for the DIT to analyze are primarily focused on student outcomes	Sample data reports
15. DIT has a process for using data for decision making	A specific problem solving process is utilized -AND- All data are used in the following ways: • Fidelity data are analyzed to improve implementation supports (e.g., selection, training, coaching supports to ensure EI is being implemented as intended) • Student outcome data	A specific problem solving process is utilized -HOWEVER- DIT only use at least two of the following types of data for problem solving, but not all types: • Fidelity data • Student outcome data • Capacity data • Scale up data	DIT does not use a specific problem solving process -OR- DIT primarily uses student outcome data to analyze student outcomes	Graphic of problem-solving process

DCA Item:	2 points	1 point	0 points	Data Source
	(screening, progress monitoring, summative assessments/state test) are used to determine the impact the EI is having on student outcomes • Capacity data for the EI are used to enhance leadership, organizational or competency supports • Scale-up data are used to create differentiated plans for schools based on their current stage of implementation			
16. District provides a status report on the EI to the school board	The report includes at least five of the following seven types of information: • Number of schools across the district working to implement the EI • Each school's stage of implementation • Internal capacity to develop structures to support the EI (leadership, organization, competency) • Fidelity of implementation for the EI • Impact of the EI on student outcomes • Stakeholder information (e.g., survey data from staff and parents) about	The report includes less than five of the different types of information outlined in the 2-point criteria	A status report has never been provided to the school board -OR- Report focuses only on action, not on data	Copy of most recent school board status report

DCA Item:	2 points	1 point	0 points	Data Source
	implementation of the EI • Upcoming work to scale-up the EI and continue improving -AND- At minimum twice a year			
17. Building Implementation Teams (BITs) are developed and functioning to support implementation of EI	Every school in the district has a BIT -AND- BITs overlap as much as possible (e.g., one or more members) with the school improvement team -AND- DIT supports BITs (e.g., provides training, coaching, etc.)	Some, but not all, schools in the district have a BIT -OR- BITs do not strategically overlap with the school improvement team -OR- BITs do not have the necessary supports from DIT	None of the schools in the district have a BIT	List of BIT members List of school improvement team members Linking communication protocol
18. BIT implementation plans are linked to district improvement plan	80% or more of schools with BITs have implementation plans linked to the district priorities within the district improvement plan	At least half of the BITs have implementation plans that are linked to the district priorities within the district improvement plan	BITs do not have implementation plans that are linked to the district priorities within the district improvement plan	School level plan
19. BITs have a process for using data for decision making	BITs use a specific problem-solving model -AND- All data listed below are used in the following ways: • Fidelity data are analyzed to improve implementation supports such as selection, training and coaching to ensure the EI is being implemented as intended • Student outcome data	BITS use a specific problem-solving model -AND- The BIT primarily uses a combination of two of the three sources of data: • Fidelity data • Student outcome data relying mostly on screening data but not consistently using other measures like progress monitoring data and	BIT does not use a specific problem-solving model -OR- BIT chooses to primarily use annual summative assessment data (e.g., state test) to analyze student outcomes	Evidence of the problem-solving process Analysis of action plans and updated improvement plans based on analysis of the data

DCA Item:	2 points	1 point	0 points	Data Source
	(screening, progress monitoring, and summative assessment/state test) are used to determine the impact of the EI • Capacity data are used to develop structures to support the EI (leadership, organization, competency)	summative assessment data • Capacity data are used to develop structures to support the EI (leadership, organization, competency)		
20. District uses a process for selecting staff (internal and/or external) who will implement and support the EI	Job descriptions align with the function of positions required to support the EI -AND- Job **interview protocol** includes documentation and assessment of core skills needed to implement the EI -AND- Interview protocol includes specific procedures for assessing candidate capacity to perform key skills (e.g., work task, role play) and use feedback provided during the interview to improve performance during a simulated work activity -AND- Interview protocol is refined and revised at least annually to improve the selection process	Job descriptions exist and include general descriptions that may align with competencies needed to implement the EI -OR- Interview and selection protocols exist but do not include documentation and assessment of core skills or demonstrated ability to perform skills in simulated activity during the interview -OR- Interview protocol is refined and revised less than annually	Job descriptions exist but do not align with competencies needed to implement the EI -OR- Generic job interview protocol (e.g. similar protocol for any position) exists in the district	Job descriptions Interview protocol (including procedures used during the selection process)
21. Staff members selected to implement or	All selected staff assigned to implement or support the EI have a professional learning plan that	Each selected staff member has a plan that includes only some of the criteria outlined in the 2-	All selected staff who are expected to support the EI in a variety of roles do not have a	Staff professional learning plans

DCA Item:	2 points	1 point	0 points	Data Source
support the EI have a plan to continuously strengthen skills	includes: • Areas for further development • Training for initial competency development (if needed) • Coaching supports • Time allocated within job responsibilities to develop knowledge outlined in plan	point response -OR- Selected staff have a plan with time allocated to implement but the plan focuses mostly on initial competency development (training) and limited follow-up supports (coaching)	professional learning plan	
22. DIT secures training on the EI for all district/school personnel and stakeholders	Highly competent individuals provide trainings (e.g., deep content knowledge, effective presentation skills) -AND- Trainings are skill based, include opportunities for practice/behavioral rehearsals when applicable, and provide participant feedback -AND- All staff have opportunities to receive training as outlined in their professional learning plans	Highly competent individuals provide trainings -AND- Trainings are skill based and opportunities for practice/behavioral rehearsals are provided when applicable, and provide participant feedback -OR- All staff do not have opportunities to execute a professional learning plan. Plans are limited to either new staff or staff who are relatively new in their positions (e.g., non-tenured teachers)	Trainings are not skill based and do not include opportunities for practice or behavioral rehearsals -OR- A one-sized fits all professional learning plan is developed for staff regardless of their current strengths and needs to accurately implement/support the EI	District professional learning schedule Training evaluations Sample of staff professional learning plans
23. DIT uses training effectiveness data	Training evaluation data (e.g., pre-post of knowledge/skills, observations) and training performance assessment data (e.g., schedule, content, process) are analyzed to determine	Training evaluation data are primarily analyzed to determine the effectiveness of training (initial and on-going) -OR- Training effectiveness data are	Data are not analyzed to determine effectiveness of training	Training outcome data Evidence that data are used for improvements

DCA Item:	2 points	1 point	0 points	Data Source
	effectiveness of training (initial and on-going) -AND- Training effectiveness data are utilized to inform needs in selection/recruitment, coaching, and other implementation supports	only utilized to inform improvements to the training content and delivery		
24. DIT uses a coaching service delivery plan	Coaching service delivery plan for the EI includes a combination of: • Direct observation • Prompting • Modeling • Feedback • Assistance in adaptation of EI to local context • Consultation without direct observation -AND- Adherence to the coaching service delivery plan is regularly reviewed	The plan only includes consultation without direct observation -OR- Coaching service delivery plan developed but is not current (over a year old)	No coaching service delivery plan exists -OR- The coaching service delivery plan is not being implemented	Sample of coaching service delivery plans
25. DIT uses coaching effectiveness data	Coaching effectiveness is assessed at least every 6 months, using multiple sources of data including: • Fidelity measures • Coach observations • Staff satisfaction surveys (coaching recipients, coach, other stakeholders) • Coaching service delivery adherence data	Coaching effectiveness is assessed annually and multiple sources of data are used to improve coaching -OR- Coaching effectiveness data are only utilized to inform coaching improvements	Coaching effectiveness is not assessed using multiple sources of information	Coaching effectiveness data such as staff satisfaction surveys Evidence the data are used to inform improvements

DCA Item:	2 points	1 point	0 points	Data Source
	-AND- Coaching effectiveness data are utilized to inform improvements in coaching, selection/recruitment, training, and other implementation supports			
26. Staff performance feedback is on-going	Performance feedback (e.g., fidelity) process is in place to provide consistent feedback to all staff who are implementing or supporting the EI, including trainers and coaches • Feedback is specific to implementation of the EI • Those providing feedback have knowledge of the EI and understand the components of high quality implementation • Collaborative review of data with all staff is perpetual • Data is used to celebrate accomplishments • Data is used to strengthen staff skills (at all levels)	The process for performance feedback related to implementing the EI is either in development or partially in place (e.g., process is in place but is not policy or policy is in place but is not fully implemented) -OR- The process for the performance feedback is currently being aligned with the implementation of the EI - OR - Feedback data are collected and reviewed but it is done on an annual basis rather than in an on-going way	No process is in place for providing performance feedback to staff implementing or supporting the EI -OR- The process for the performance feedback is unable to be aligned with the implementation of the EI -OR- Individuals providing the performance feedback are not knowledgeable enough about the EI to accurately determine what should and should not be seen	Evidence of performance feedback process Fidelity assessment data

Action Planning

Step 1: For any item listed below a "2" consider actions that may be completed within the next 3 months.

Step 2: Define the action, "who" is responsible, when it will be accomplished, and the team/meeting when updates on the action will be reviewed.

Step 3: Team should prioritize the areas or items that are most critical to improve– critical defined as most likely to improve fidelity, sustainability and student outcomes.

Subscale and Items	Action	Who	When	Next Update
1. Leadership				
2. Action Planning				
3. Performance Feedback				
4. Selection				
5. Training				
6. Coaching				
7. Decision Support System				
8. Facilitative Administration				
9. Systems Intervention				

Glossary

Browse the glossary below to learn the vocabulary terms commonly encountered in the DCA. To successfully administer the DCA, knowledge of these terms is necessary. The glossary was compiled using the following resources: SISEP's Active Implementation Hub, National Implementation Research Network, and PBIS.org.

Authority

Authority in the context of the DCA refers to the power or right to make decisions regarding budgets, positions, and allocation of resources.

Building Implementation Team (BIT)

An organized and active group that supports the implementation, sustainability, and scale-up of Effective Innovations by integrating the use of implementation stages, drivers and improvement cycles.

Capacity

Systems, activities, and resources that are necessary for schools to successfully adopt and sustain effective innovations.

Coaching

Coaching is defined as regular, embedded professional development designed to help teachers and staff to use the program or innovation as intended.

Coaching Service Delivery Plan

A written plan detailing the frequency of coaching observations, methods of support, and routines and methods (e.g. written, verbal) for providing constructive feedback in a safe environment.

Communication Protocol

A written document outlining the frequency, type, and format of communication between teams for the following purposes: 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, report on actions taken to resolve or address past issues, and revisit past decisions and agreements periodically to ensure that solutions are still functional.

Coordinator

District staff member assuming a lead role in preparing for and facilitating the DIT meetings, agenda topics and monitoring completion of assigned actions.

Decision Support Data System

District Capacity Assessment

A system for identifying, collecting, and analyzing data that are useful to the teacher, school, and district for decision making to improve implementation of the EI. Specifically, the utilization of process data, performance (fidelity) data, and outcome data is measured and data are used.

Diagnostic Assessment

Assessments which provide more in depth information about an individual student's specific skill, for the purpose of guiding future instructional supports.

District Capacity Action Plan

A detailed plan outlining actions needed to reach one or more goals for improving district capacity.

District Implementation Plan

A detailed plan outlining actions needed to reach one or more goals for effective and sustained implementation of an EI.

District Implementation Team

An organized and active group that supports the implementation, sustainability, and scale-up of Effective Innovations by integrating the use of implementation stages, drivers and improvement cycles.

District Improvement Plan

A detailed plan outlining actions needed to reach one or more goals for performance improvement.

Effective Innovation

An innovation is anything that is new to a district and that is intended for use to improve effectiveness or efficiency. The innovation was developed based on the best available evidence (e.g., evaluation results, research findings).

Executive Leadership

A process of social influence in which a person can enlist the aid and support of others in the accomplishment of a specific task.

Fidelity

Fidelity is defined as doing what is intended.

Formal

Formal refers to an established hierarchy, procedure or set of specific behaviors.

Facilitative Administration

District Capacity Assessment

Organization driver focused on the internal processes, policies, regulations, and structures over which a district implementation team has some control in order to create and maintain hospitable environments to support new ways of work.

Guidance Documents

Publically available documents outlining the a process and/or procedure and its implementation.

Implementation

A specified set of activities designed to put into practice an activity or program of known dimensions. According to this definition, implementation processes are purposeful and described in sufficient details such that independent observers can detect the presence and strength of the "specific set of activities" related to implementation.

Implementation Science

Implementation science is the study of methods to promote the integration of research findings and evidence into policy and practice. It seeks to understand the behavior of professionals and other stakeholders as key variables in the sustainable uptake, adoption, implementation, and sustainability of Effective Innovations.

Improvement Cycles

Improvement cycle is a planned sequence of systematic and documented activities aimed at improving a process (e.g., PDSA Cycle – Plan, Do, Study, Act).

Informal

Informal refers to an activity or process that is marked by the absence of formality or structure.

Interview Protocol

A document outlining the various activities used within a selection process of a staff member.

Performance Assessment

Performance assessment refers to measuring the degree to which a teacher or staff are able to use the intervention or instructional practices as intended. Performance assessment (fidelity) measures the extent to which an innovation is implemented as intended.

Policy Relevant Information

Data and material that can be used to inform the development and/or refinement of a policy or statement of intent adopted by a Board or senior governance body.

Progress Monitoring

Frequent assessment to provide more in depth information about an individual student's specific skills, for the purpose of guiding instructional supports.

Regional Unit

An educational entity providing various school districts within a specified geographic region of the state with a wide array of educational programs and services, many of which are too costly or limited in demand for a single location.

Scaleworthy or Scalable Practices

Practices that have sufficient social and scientific validation to warrant the large-scale investment needed to transform these practices into Standard Practice.   Scalable practices have documentation that they are needed, effective, usable, and feasible.

Selection

Selection refers to the purposeful process of recruiting, interviewing, and hiring '*with the end in mind'.* Selection through an *active implementation lens* includes identifying skills and abilities that are pre-requisites and/or specific to the innovation or program, as well as attributes that are difficult to train and coach.

SMART Goal

SMART is a mnemonic acronym, giving criteria to guide in the setting of goals and/or objectives. A SMART goal is defined as one that is specific, measurable, achievable, relevant, and time- bound.

Summative Assessment Data

Measures used to gather information about student performance compared to grade level standards.

Systems Intervention

An **Organization driver** focused on the external variables, policies, environments, systems or structures that influence or have impact on the district and schools.

Training

Training through an *active implementation lens* is defined as purposeful, skill-based, and adult-learning informed processes designed to support teachers and staff in acquiring the skills and information needed to begin using a new program or innovation.

Universal Screening

The systematic assessment of all children within a given class, grade, school building, or school district, on academic and/or social-emotional indicators that the school personnel and community have agreed are important.

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RTI Fidelity of Implementation Rubric

The Response to Intervention (RTI) Fidelity Rubric is for use by districts to support fidelity of RTI implementation. The rubric is aligned with the essential components of RTI and the infrastructure that is necessary for successful implementation. It is accompanied by a worksheet with guiding questions and score points for use with a districts or school RTI leadership team. Note that the rubric gives specific guidance on what elements comprise a rating of 0, 1, or 2. The purpose is to facilitate discussion and allow a team to take a somewhat objective look at the systems and processes a school has in place. Once the group has reached consensus, use the RTI rubric to determine a self-rating. Be sure to document your justification for this rating and consider the evidence that supports your rating on the RTI Fidelity of Implementation Worksheet. Since the RTI framework is comprised of both literacy and behavior aspects, some of the items may seem similar to items on other self-assessments. However, this assessment focuses on a schoolwide RTI framework. The Tiered Fidelity Inventory and Literacy assessments focus more on the literacy and behavioral practices. RTI builds school systems that support those practices. A RTI framework guides how a school analyzes data and makes decisions *in the areas* of literacy and behavior.

Infrastructure and Support Mechanisms—*Knowledge, resources, and organizational structures necessary to operationalize all components of RTI in a unified system to meet the established goals.*

Alignment with School Improvement Indistar Indicators
- ID01 – A team structure is officially incorporated into the school governance policy.
- ID04 – All teams prepare agendas for their meetings
- IVA01 – The school's Title I Compact (Or Non-Title I schools roles and expectations for parents, students, and teachers) includes responsibilities (expectations) that communicate what parents (families) can do to support their student's learning at home (curriculum of the home, with learning opportunities for families to develop their curriculum of the home)
- VA01 – The school provides all students with guidance and supports (academic, financial, etc.) to prepare them for college and career.

Measures	0 (Not in Place)	1 (Partially in Place)	2 (Fully in Place)
Prevention Focus	Staff generally perceives RTI as a program that solely supports the prereferral process for special education.	Some staff understand that RTI is a framework to prevent all students, including students with disabilities, from having academic and /or behavioral problems.	All staff understand that RTI is a framework to prevent all students, including students with disabilities, from having academic and/or behavioral problems.
Leadership Personnel	Decisions and actions by school and district leaders undermine the effectiveness of the essential components of the RTI framework at the school.	Decisions and actions by school and district leaders are inconsistent and only somewhat supportive of the essential components of the RTI framework at the school; support for RTI implementation is not very evident.	Decisions and actions by school and district leaders proactively support the essential components of the RTI framework at the school, and help make the RTI framework more effective; support for RTI implementation is a high priority.
School-Based Professional Development	The school has no well-defined, school-based professional development mechanism to support continuous improvement of instructional practice, data-based decision making, and delivery of interventions.	Some forms of school-based professional development are available, but most are not consistent or job embedded to ensure continuous improvement in instructional practice, data-based decision making, and delivery of interventions.	School-based professional development is institutionalized and structured so that all teachers continuously examine, reflect upon, and improve instructional practice, data-based decision making, and delivery of interventions.
Schedules	School wide schedules are not aligned to support multiple levels of intervention based on student need; inadequate time is available for interventions.	School wide schedules are partially aligned to support multiple levels of intervention based on student need; some additional time is built in for interventions.	School wide schedules are aligned to support multiple levels of intervention based on student need; adequate additional time is built in for interventions.
Resources	Resources (e.g., funds, programs) are not allocated to support RTI implementation.	Resources (e.g., funds, programs) are partially allocated to support RTI implementation.	Resources (e.g., funds, programs) are adequately allocated to support RTI implementation.
Cultural and Linguistic	One or none of the following conditions is met:	Two of the following conditions are met: Staff can articulate information and factors	All three of the following conditions are met:

Responsiveness	Staff can articulate information and factors that they consider when adopting culturally and linguistically relevant (1) instructional practices, (2) assessments, and (3) intervention programs.	that they consider when adopting culturally and linguistically relevant (1) instructional practices, (2) assessments, and (3) intervention programs.	Staff can articulate information and factors that they consider when adopting culturally and linguistically relevant (1) instructional practices, (2) assessments, and (3) intervention programs.
Communications With and Involvement of Parents	One or none of the following conditions is met: (1) a description of the school's essential components of RTI is shared with parents; (2) a coherent mechanism is implemented for updating parents on the progress of their child who is receiving secondary or intensive interventions; and (3) parents are involved during decision making regarding the progress of students receiving intensive intervention.	Two of the following conditions are met: (1) a description of the school's essential components of RTI is shared with parents; (2) a coherent mechanism is implemented for updating parents on the progress of their child who is receiving secondary or intensive interventions; and (3) parents are involved during decision making regarding the progress of students receiving intensive intervention.	All of the following conditions are met: (1) a description of the school's essential components of RTI is shared with parents; (2) a coherent mechanism is implemented for updating parents on the progress of their child who is receiving secondary or intensive interventions; and (3) parents are informed about decision making regarding the progress of students receiving intensive intervention.
Communication With and Involvement of All Staff	One or none of the following conditions is met: (1) a description of the school's essential components of RTI and data-based decision- making process is shared with staff; (2) a system is in place to keep staff informed; and (3) teacher teams collaborate frequently.	At least two of the following conditions are met: (1) a description of the school's essential components of RTI and data-based decision-making process is shared with staff; (2) a system is in place to keep staff informed; and (3) teacher teams collaborate frequently.	All of the following conditions are met: (1) a description of the school's essential components of RTI and data-based decision- making process is shared with staff; (2) a system is in place to keep staff informed; and (3) teacher teams collaborate frequently.
RTI Teams	Only one of the following conditions is met: (1) the RTI team is representative of all key stakeholders; (2) structures and clear processes are in place to guide decision making; and (3) time is set aside for the team to meet regularly.	At least two of the following conditions are met: (1) the RTI team is representative of all key stakeholders; (2) structures and clear processes are in place to guide decision making; and (3) time is set aside for the team to meet regularly.	All of the following conditions are met: (1) the RTI team is representative of all key stakeholders; (2) structures and clear processes are in place to guide decision making; and (3) time is set aside for the team to meet regularly.

Assessments—*Screening, progress monitoring, and other supporting assessments are used to inform data-based decision making.*

<u>Alignment with School Improvement Indistar Indicators</u>

IIIDO1 - The school implements a reliable and valid system-wide screening process for academic & behavior that includes the assessments of all students multiple times per year and establishes decision rules to determine those students in need of targeted intervention.

Measures	0 (Not in Place)	1 (Partially in Place)	2 (Fully in Place)
Screening—*The RTI framework accurately identifies students at risk of poor literacy outcomes or challenging behaviors.*			
Screening Tools	Insufficient evidence that the screening tools are reliable, correlations between the instruments and valued outcomes are strong, and predictions of risk status are accurate.	Evidence indicates that the screening tools are reliable, correlations between the instruments and valued outcomes are strong, and predictions of risk status are accurate, but staff is unable to articulate the supporting evidence.	Evidence indicates that the screening tools are reliable, correlations between the instruments and valued outcomes are strong, and predictions of risk status are accurate, and staff is able to articulate the supporting evidence.
Universal Screening	One or none of the following conditions is met: (1) screening is conducted for all students (i.e., is universal); (2) procedures are in place to ensure implementation accuracy (i.e., all students are tested, scores are accurate, cut points/decisions are accurate); and (3) a process to screen all students occurs more than once per year (e.g., fall, winter, spring).	Two of the following conditions are met: (1) screening is conducted for all students (i.e., is universal); (2) procedures are in place to ensure implementation accuracy (i.e., all students are tested, scores are accurate, cut points/decisions are accurate); and (3) a process to screen all students occurs more than once per year (e.g., fall, winter, spring).	All of the following conditions are met: (1) screening is conducted for all students (i.e., is universal); (2) procedures are in place to ensure implementation accuracy (i.e., all students are tested, scores are accurate, cut points/decisions are accurate); and (3) a process to screen all students occurs more than once per year (e.g., fall, winter, spring).
Data Points to Verify Risk	Screening data are not used or are used alone to verify decisions about whether a student is or is not at risk.	Screening data are used in concert with at least one other data source (e.g., classroom performance, curriculum-based assessment, performance on state assessments, diagnostic assessment data, short-term progress monitoring) to verify decisions about whether a student is or is not at risk.	Screening data are used in concert with at least two other data sources (e.g., classroom performance, performance on state assessments, diagnostic assessment data, short-term progress monitoring) to verify decisions about whether a student is or is not at risk.
Progress Monitoring—*Ongoing and frequent monitoring of progress quantifies rates of improvement and informs instructional practice and the development of individualized literacy and behavior programs. Measures are appropriate for the student's grade and/or skill level.*			
Progress-Monitoring Tools	Selected progress-monitoring tools meet no more than one of the following criteria: (1) have sufficient number of alternate forms of equal and controlled difficulty to allow for progress monitoring at recommended intervals based on intervention level; (2) specify minimum acceptable growth; (3)	Selected progress-monitoring tools meet two or three of the following criteria: (1) have sufficient number of alternate forms of equal and controlled difficulty to allow for progress monitoring at recommended intervals based on intervention level; (2) specify minimum acceptable growth; (3)	Selected progress-monitoring tools meet all of the following criteria: (1) have sufficient number of alternate forms of equal and controlled difficulty to allow for progress monitoring at recommended intervals based on intervention level; (2) specify minimum acceptable growth; (3) provide benchmarks

	provide benchmarks for minimum acceptable end-of-year performance; and (4) reliability and validity information for the performance-level score is available.	provide benchmarks for minimum acceptable end-of-year performance; and (4) reliability and validity information for the performance-level score is available.	for minimum acceptable end-of-year performance; and (4) reliability and validity information for the performance-level score is available and staff is able to articulate the supporting evidence.
Progress-Monitoring Process	Neither of the following conditions is met: (1) progress monitoring occurs at least monthly for students receiving secondary-level intervention and at least weekly for students receiving intensive intervention; and (2) procedures are in place to ensure implementation accuracy (i.e., appropriate students are tested, scores are accurate, decision-making rules are applied consistently).	Only one of the following conditions is met: (1) progress monitoring occurs at least monthly for students receiving secondary-level intervention and at least weekly for students receiving intensive intervention; and (2) procedures are in place to ensure implementation accuracy (i.e., appropriate students are tested, scores are accurate, decision-making rules are applied consistently).	Both of the following conditions are met: (1) progress monitoring occurs at least monthly for students receiving secondary-level intervention and at least weekly for students receiving intensive intervention; and (2) procedures are in place to ensure implementation accuracy (i.e., appropriate students are tested, scores are accurate, decision-making rules are applied consistently).

Data-Based Decision Making—*Data-based decision-making processes are used to inform instruction, movement within the multilevel system, and disability identification (in accordance with state law).*

Alignment with School Improvement Indistar Indicators
- IIID04 - The school implements a system-wide monitoring process that utilizes collaborative instructional teams who meet regularly to review student data from screening, progress monitoring, and outcome assessment to identify next steps for instruction for students across all tiers.
- IIB04 – Teachers individualize instruction based on pre-test results to provide support for some students and enhanced learning opportunities for others.

Measures	0 (Not in Place)	1 (Partially in Place)	2 (Fully in Place)
Decision-Making Process	The mechanism for making decisions about the participation of students in the instruction/ intervention levels meets no more than one of the following criteria: The process (1) is data-driven and based on validated methods; (2) involves a broad base of stakeholders; and (3) is operationalized with clear, established decision rules (e.g., movement between levels or tiers, determination of appropriate instruction or interventions).	The mechanism for making decisions about the participation of students in the instruction/ intervention levels meets two of the following criteria: The process (1) is data-driven and based on validated methods; (2) involves a broad base of stakeholders; and (3) is operationalized with clear, established decision rules (e.g., movement between levels or tiers, determination of appropriate instruction or interventions).	The mechanism for making decisions about the participation of students in the instruction/intervention levels meets all of the following criteria: The process (1) is data-driven and based on validated methods; (2) involves a broad base of stakeholders; and (3) is operationalized with clear, established decision rules (e.g., movement between levels or tiers, determination of appropriate instruction or interventions).
Data System	A data system is in place that meets two or fewer of the following conditions: (1) the system allows users to document and access individual student- level data (including screening and progress-monitoring data) and instructional decisions; (2) data are entered in a timely manner; (3) data can be represented graphically; and (4) there is a process for setting/evaluating goals.	A data system is in place that meets three of the following four conditions: (1) the system allows users to document and access individual student-level data (including screening and progress-monitoring data) and instructional decisions; (2) data are entered in a timely manner; (3) data can be represented graphically; and (4) there is a process for setting/evaluating goals.	A data system is in place that meets all of the following conditions: (1) the system allows users to document and access individual student-level data (including screening and progress-monitoring data) and instructional decisions; (2) data are entered in a timely manner; (3) data can be represented graphically; and (4) there is a process for setting/evaluating goals.
Responsiveness to Secondary and Intensive Levels of Intervention	Neither of the following conditions is met: (1) decisions about responsiveness to intervention are based on reliable and valid progress-monitoring data that reflect slope of improvement or progress toward the attainment of a goal at the end of the intervention; and (2) these decision-making criteria are implemented accurately.	Only one of the following conditions is met: (1) decisions about responsiveness to intervention are based on reliable and valid progress-monitoring data that reflect slope of improvement or progress toward the attainment of a goal at the end of the intervention; and (2) these decision-making criteria are implemented accurately.	Both of the following conditions are met: (1) decisions about responsiveness to intervention are based on reliable and valid progress-monitoring data that reflect slope of improvement or progress toward the attainment of a goal at the end of the intervention; and (2) these decision-making criteria are implemented accurately.

***Multilevel Instruction**—The RTI framework includes a school-wide, multilevel system of instruction and interventions for preventing school failure. Commonly represented by the three-tiered triangle, multilevel instruction also is known as the multi-tiered system of support (MTSS).*

Alignment with School Improvement Indistar Indicators
- IIID02 - The school implements a tiered instructional system that allows teachers to deliver instruction aligned with individual needs of students across tiers.
- IIB04 – Teachers individualize instruction based on pre-test results to provide support for some students and enhanced learning opportunities for others.
- IIID03 - The school's tiered instructional system includes documentation that describes what interventions are provided and how interventions are selected and assigned to students and how they are monitored.
- IIIC08 - All teachers display classroom rules and procedures in the classroom.
- IIIC10 - All teachers reinforce classroom rules and procedures by positively teaching them.
- IIIC09 – All teachers correct students who do not follow classroom rules and procedures.

Measures	0 (Not in Place)	1 (Partially in Place)	2 (Fully in Place)
Primary-Level Instruction/Core Curriculum **(Tier I)**			
Research-Based Curriculum Materials	Few core curriculum materials are research based for the target population of learners (including subgroups).	Some core curriculum materials are research based for the target population of learners (including subgroups).	All core curriculum materials are research based for the target population of learners (including subgroups).
Articulation of Teaching and Learning (in and across grade levels)	Neither of the following conditions is met: (1) teaching and learning objectives are well articulated from one grade to another; and (2) teaching and learning is well articulated within grade levels so that students have highly similar experiences, regardless of their assigned teacher.	Only one of the following conditions is met: (1) teaching and learning objectives are well articulated from one grade to another; and (2) teaching and learning is well articulated within grade levels so that students have highly similar experiences, regardless of their assigned teacher.	Both of the following conditions are met: (1) teaching and learning objectives are well articulated from one grade to another; and (2) teaching and learning is well articulated within grade levels so that students have highly similar experiences, regardless of their assigned teacher.
Differentiated Instruction	Neither of the following conditions is met: (1) interviewed staff can describe how most teachers in the school differentiate instruction for students on, below, or above grade level; and (2) interviewed staff can explain how most teachers in the school use student data to identify and address the needs of students.	Only one of the following conditions is met: (1) interviewed staff can describe how most teachers in the school differentiate instruction for students on, below, or above grade level; and (2) interviewed staff can explain how most teachers in the school use student data to identify and address the needs of students.	Both of the following conditions are met: (1) interviewed staff can describe how most teachers in the school differentiate instruction for students on, below, or above grade level; and (2) interviewed staff can explain how most teachers in the school use data to identify and address the needs of students.
Standards-Based	The core reading curriculum is not aligned	The core reading curriculum is partially	The core reading curriculum is aligned with

	with the Common Core or other state standards.	aligned with the Common Core or other state standards.	the Common Core or other state standards.

Exceeding Benchmark	Neither of the following conditions is met: (1) the school provides enrichment opportunities for students exceeding benchmarks; and (2) teachers implement those opportunities consistently at all grade levels.	One of the following conditions is met: (1) the school provides enrichment opportunities for students exceeding benchmarks; and (2) teachers implement those opportunities consistently at all grade levels.	Both of the following conditions are met: (1) the school provides enrichment opportunities for students exceeding benchmarks; and (2) teachers implement those opportunities consistently at all grade levels.
Secondary-Level Intervention **(Tier II)**			
Evidence-Based Intervention	Secondary-level interventions are not evidence based in content areas and grade levels where they are available.	Some secondary-level interventions are evidence based in content areas and grade levels where they are available.	All secondary-level interventions are evidence based in content areas and grade levels where they are available.
Complements Core Instruction	Secondary-level intervention is poorly aligned with core instruction and incorporates different topics, even though those topics are not foundational skills that support core program learning objectives.	Secondary-level intervention incorporates foundational skills, but these only occasionally align with the learning objectives of core instruction.	Secondary-level intervention is well aligned with core instruction and incorporates foundational skills that support the learning objectives of core instruction.
Instructional Characteristics	One or none of the following conditions is met: (1) interventions are standardized; (2) secondary-level interventions are led by staff trained in the intervention according to developer requirements; and (3) group size and dosage are optimal (according to research) for the age and needs of students.	Two of the following conditions are met: (1) interventions are standardized; (2) secondary-level interventions are led by staff trained in the intervention according to developer requirements; and (3) group size and dosage are optimal (according to research) for the age and needs of students.	All three of the following conditions are met: (1) interventions are standardized; (2) secondary-level interventions are led by staff trained in the intervention according to developer requirements; and (3) group size and dosage are optimal (according to research) for the age and needs of students.
Addition to Primary	Secondary-level interventions replace core instruction. Tier 2 supplants core instruction.	Secondary-level interventions sometimes supplement core instruction and sometimes replace core instruction.	Secondary-level interventions supplement core instruction.

Intensive Intervention—*Individualized to address the academic and behavior needs of students significantly below grade level* (Tier III)			
Data-Based Interventions Adapted Based on Student Need	Intensive interventions are not more intensive (e.g., no increase in duration or frequency, change in interventionist, change in group size, or change in intervention) than secondary interventions.	Intensive interventions are more intensive than secondary interventions based only on preset methods to increase intensity (e.g., sole reliance on increased duration or frequency, change in interventionist, decreased group size, or change in intervention program).	Intensive interventions are more intensive than secondary interventions and are adapted to address individual student needs in a number of ways (e.g., increased duration or frequency, change in interventionist, decreased group size, change in instructional delivery, and change in type of intervention) through an iterative manner based on student data.
Instructional Characteristics	None of the following conditions is met: (1) the intervention is individualized; (2) intensive interventions are led by well-trained staff experienced in individualizing instruction based on student data; and (3) the group size is optimal (according to research) for the age and needs of students.	Only one of the following conditions is met: (1) the intervention is individualized; (2) intensive interventions are led by well-trained staff experienced in individualizing instruction based on student data; and (3) the group size is optimal (according to research) for the age and needs of students.	All of the following conditions are met: (1) the intervention is individualized; (2) intensive interventions are led by well-trained staff experienced in individualizing instruction based on student data; and (3) the group size is optimal (according to research) for the age and needs of students.
Relationship to Primary	Neither of the following conditions is met: (1) decisions regarding student participation in both core instruction and intensive intervention are made on a case-by-case basis, according to student need; and (2) intensive interventions are aligned to the specific skill needs of students to help them make progress toward core curriculum standards.	Only one of the following conditions is met: (1) decisions regarding student participation in both core instruction and intensive intervention are made on a case-by-case basis, according to student need; and (2) intensive interventions address the general education curriculum in an appropriate manner for students.	Both of the following conditions are met: (1) decisions regarding student participation in both core instruction and intensive intervention are made on a case-by-case basis, according to student need; and (2) intensive interventions address the general education curriculum in an appropriate manner for students.

Fidelity and Evaluation—*System for collecting and analyzing data to measure fidelity and effectiveness of the RTI model.*

Alignment with School Improvement Indistar Indicators
IIID04 - The school implements a system-wide monitoring process that utilizes collaborative instructional teams who meet regularly to review student data from screening, progress monitoring, and outcome assessment to identify next steps for instruction for students across all tiers.

Measures	0 (Not in Place)	1 (Partially in Place)	2 (Fully in Place)
Fidelity	Neither of the following conditions is met: (1) procedures are in place to monitor the fidelity of implementation of the core curriculum and secondary and intensive interventions; and (2) procedures are in place to monitor the processes of administering and analyzing assessments.	One of the following conditions is met: (1) procedures are in place to monitor the fidelity of implementation of the core curriculum and secondary and intensive interventions; and (2) procedures are in place to monitor the processes of administering and analyzing assessments.	Both of the following conditions are met: (1) procedures are in place to monitor the fidelity of implementation of the core curriculum and secondary and intensive interventions; and (2) procedures are in place to monitor the processes of administering and analyzing assessments.
Evaluation	None of the following conditions are met: (1) an evaluation plan is in place to monitor short- and long-term goals; (2) student data are reviewed for all students and subgroups of students across the essential components to evaluate effectiveness of the RTI framework (i.e., core curriculum is effective, interventions are effective, screening process is effective); and (3) implementation data (e.g., walk-throughs) are reviewed to monitor fidelity and efficiency across all components of the RTI framework.	At least one of the following conditions is met: (1) an evaluation plan is in place to monitor short- and long-term goals; (2) student data are reviewed for all students and subgroups of students across the essential components to evaluate effectiveness of the RTI framework (i.e., core curriculum is effective, interventions are effective, screening process is effective); and (3) implementation data (e.g., walk-throughs) are reviewed to monitor fidelity and efficiency across all components of the RTI framework.	All of the following conditions are met: (1) an evaluation plan is in place to monitor short- and long-term goals; (2) student data are reviewed for all students and subgroups of students across the essential components to evaluate effectiveness of the RTI framework (i.e., core curriculum is effective, interventions are effective, screening process is effective); and (3) implementation data (e.g., walk-throughs) are reviewed to monitor fidelity and efficiency across all components of the RTI framework.

SWPBIS Tiered Fidelity Inventory
version 2.1

Table of Contents

Introduction and Purpose

The purpose of the SWPBIS Tiered Fidelity Inventory (TFI) is to provide a valid, reliable, and efficient measure of the extent to which school personnel are applying the core features of school-wide positive behavioral interventions and supports (SWPBIS). The TFI is divided into three sections (Tier I: Universal SWPBIS Features; Tier II: Targeted SWPBIS Features; and, Tier III: Intensive SWPBIS Features) that can be used separately or in combination to assess the extent to which core features are in place.

The TFI is based on the features and items of existing SWPBIS fidelity measures (e.g., SET, BoQ, TIC, SAS, BAT, MATT). The purpose of the TFI is to provide one efficient yet valid and reliable instrument that can be used over time to guide both implementation and sustained use of SWPBIS. The TFI may be used (a) for initial assessment to determine if a school is using (or needs) SWPBIS, (b) as a guide for implementation of Tier I, Tier II, and Tier III practices, (c) as an index of sustained SWPBIS implementation, or (d) as a metric for identifying schools for recognition within their state implementation efforts.

The TFI is completed by a school Systems Planning Team (typically 3-8 individuals including a building administrator and external coach or district coordinator), often with input from Tier I, II and/or III teams if these are independent groups. It is strongly recommended that the TFI be completed with **an external SWPBIS coach as facilitator**. Validity research on the TFI shows that school teams are more accurate when an external coach facilitates TFI completion.

The first time the TFI is used, we recommend that a team examine all three tiers. If the resulting action plan focuses only on one or two tiers, then progress monitoring (use of the TFI every 3-4 months) may only include those tiers addressed in the action plan. **Note that the TFI may be used to assess only one or two of the tiers.** In most cases it will be useful to have the end-of-the-year administration of the TFI include scoring for all three tiers.

Completion of the TFI produces scale and subscale scores indicating the extent to which Tier I, Tier II and Tier III core features are in place. As a general rule, a score of 80% for each tier is accepted as a level of implementation that will result in improved student outcomes, but research is currently underway to identify a specific criterion for each tier of the TFI.

The TFI is intended to guide both initial implementation and sustained use of SWPBIS. Each administration of the TFI results not only scale scores for Tier I, Tier II, and/or Tier III, but also information for developing an **action plan** that guides implementation.

The TFI may be completed using paper and pencil, or by accessing the forms on www.pbisapps.org. Any school working with a state PBIS coordinator may access the website, TFI content, and reports. The TFI may also be downloaded from www.pbis.org.

Cost

There is no cost to use the TFI or its online scoring and reporting features. The TFI is a product developed as part of the U.S. Department of Education's Office of Special Education Programs National Technical Assistance Center on Positive Behavioral Interventions and Supports.

Intended Participants

The TFI is intended to be completed by members of a school's System Planning Team, with the active presence and guidance of an external SWPBIS coach.

Schedule of Administration

School teams are encouraged to self-assess SWPBIS implementation when they initially launch implementation of SWPBIS, and then **every third or fourth meeting** until they reach at least 80% fidelity across three consecutive administrations. Once fidelity on a tier is met, the team may choose to shift to annual TFI assessment for the purpose of evaluating sustained implementation. Note that schools new to SWPBIS may start by using only the Tier I section of

the TFI, and as they improve their implementation of Tier I, they may add assessment of Tier II and/or Tier III features.

Preparation for Administration/ Completion Time

School teams completing the Tier I scale should arrange a TFI Walkthrough (see Appendix A) before completing the TFI. We recommend that an external coach complete the TFI Walkthrough, although teams completing the Tier I scale more than once per year (i.e., for progress monitoring) may have a school staff member complete it.

The time to complete the TFI depends on (a) the experience that the team and coach have with the process, (b) the extent of preparation for TFI completion , and (c) the number of tiers assessed.

School teams new to the TFI should schedule 30 min for Tier I, 30 min for Tier II, and 30 min for Tier III. If team leaders have assembled relevant sources of information prior to the meeting, and, if the team and coach have already completed the TFI at least twice, the time required for implementation may be approximately 15 min for each tier.

Outcomes

Criteria for scoring each item of the TFI reflect degrees of implementation (0 = Not implemented, 1 = Partially implemented, 2 = Fully implemented) of Tier 1: Universal SWPBIS Features, Tier II: Targeted SWPBIS Features, and Tier III: Intensive SWPBIS Features. A complete administration of the TFI produces three scale scores: Percentage of SWPBIS implementation for Tier I, Percentage of SWPBIS implementation for Tier II, and Percentage of SWPBIS implementation for Tier III, as well as subscale and item scores for each tier. The subscale and item reports are produced to guide coaching support and team action planning.

Glossary and Acronym Key

Aggregated Data: Individual data that are averaged at the school or district level (e.g., the percent of all students on check-in check-out meeting their daily point goals).

FTE (Full-Time Equivalent): Funding allocated to an individual for specific responsibilities (e.g., behavior consultant), with 1.0 = full time work. Allocated FTE may be an individual's position or official release time for tasks.

Life Domain: Each area of a student's life to consider when planning comprehensive support, such as educational/vocational, emotional/psychological, family, medical, residence, safety, and social.

Natural and Formal Supports: Natural supports are the relationships that occur in everyday life, usually involving relationships with family, friends, co-workers, neighbors, and acquaintances. Formal Supports usually involve some sort of payment and may include relationships with service providers such as teachers, other school staff, or community agency representatives.

Person Centered Planning: A team-based approach involving a range of strategies and activities designed to help assist students in planning their life and supports. The focus is on personal self-determination and enhancing independence.

Quality of Life: The extent to which physical, mental, social, and emotional functioning is consistent with personal preferences. It is determined by the student and family.

RENEW (Rehabilitation for Empowerment, Natural supports, Education, and Work): A wraparound-based process specifically designed for adolescents and young adults that emphasizes self-determination and student voice. The focus of RENEW is on high school completion, employment, post-secondary education and training, and community integration.

Targeted Interventions Reference Guide: A matrix used to indicate a school's Tier II interventions and indicate which student needs (e.g., function of problem behavior) they can support. It is included in Appendix B.

Tiered Fidelity Inventory (TFI): A validated SWPBIS fidelity of implementation measure that assesses all three tiers of support (this measure).

TFI Behavior Support Plan Worksheet: A sheet used to score the school's existing behavior support plans for the Tier III scale. It is not needed for the Tier I or II scales. It is included in Appendix C.

TFI Walkthrough Tool: An interview form used for the Tier I scale that includes questions for randomly selected staff and students. Completed by an external reviewer (for evaluation purposes) or a member of the school team (for progress monitoring purposes). It is not needed for the Tier II or III scales. It is included in Appendix A.

Walkthrough (informal): Any type of walkthrough used to assess quality of instruction (not the TFI Walkthrough Tool).

Wraparound: A person-centered process for developing and implementing individualized care plans for youth at-risk of emotional and behavioral disorders. Wraparound brings the student, family, school, agency staff members and informal supporters together as a team to develop a coordinated supports.

Tier I: Universal SWPBIS Features

NOTE: This section may be completed individually or with other tiers as part of the full Tiered Fidelity Inventory

Feature	Possible Data Sources	Scoring Criteria
Subscale: Teams		
1.1 **Team Composition:** Tier I team includes a Tier I systems coordinator, a school administrator, a family member, and individuals able to provide (a) applied behavioral expertise, (b) coaching expertise, (c) knowledge of student academic and behavior patterns, (d) knowledge about the operations of the school across grade levels and programs, and for high schools, (e) student representation.	• School organizational chart • Tier I team meeting minutes	0 = Tier I team does not exist or does not include coordinator, school administrator, or individuals with applied behavioral expertise 1 = Tier I team exists, but does not include all identified roles or attendance of these members is below 80% 2 = Tier I team exists with coordinator, administrator, and all identified roles represented, AND attendance of all roles is at or above 80%
1.2 **Team Operating Procedures:** Tier I team meets at least monthly and has (a) regular meeting format/agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.	• Tier I team meeting agendas and minutes • Tier I meeting roles descriptions • Tier I action plan	0 = Tier I team does not use regular meeting format/agenda, minutes, defined roles, or a current action plan 1= Tier I team has at least 2 but not all 4 features 2 = Tier I team meets at least monthly and uses regular meeting format/agenda, minutes, defined roles, AND has a current action plan

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
Subscale: Implementation		
1.3 **Behavioral Expectations:** School has five or fewer positively stated behavioral expectations and examples by setting/location for student and staff behaviors (i.e., school teaching matrix) defined and in place.	• TFI Walkthrough Tool • Staff handbook • Student handbook	0 = Behavioral expectations have not been identified, are not all positive, or are more than 5 in number 1 = Behavioral expectations identified but may not include a matrix or be posted 2 = Five or fewer behavioral expectations exist that are positive, posted, and identified for specific settings (i.e., matrix) AND at least 90% of staff can list at least 67% of the expectations
1.4 **Teaching Expectations:** Expected academic and social behaviors are taught directly to all students in classrooms and across other campus settings/locations.	• TFI Walkthrough Tool • Professional development calendar • Lesson plans • Informal walkthroughs	0 = Expected behaviors are not taught 1 = Expected behaviors are taught informally or inconsistently 2 = Formal system with written schedules is used to teach expected behaviors directly to students across classroom and campus settings AND at least 70% of students can list at least 67% of the expectations
1.5 **Problem Behavior Definitions:** School has clear definitions for behaviors that interfere with academic and social success and a clear policy/ procedure (e.g., flowchart) for addressing office-managed versus staff-managed problems.	• Staff handbook • Student handbook • School policy • Discipline flowchart	0 = No clear definitions exist, and procedures to manage problems are not clearly documented 1 = Definitions and procedures exist but are not clear and/or not organized by staff- versus office-managed problems 2 = Definitions and procedures for managing problems are clearly defined, documented, trained, and shared with families

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
1.6 **Discipline Policies:** School policies and procedures describe and emphasize proactive, instructive, and/or restorative approaches to student behavior that are implemented consistently.	• Discipline policy • Student handbook • Code of conduct • Informal administrator interview	0 = Documents contain only reactive and punitive consequences 1 = Documentation includes and emphasizes proactive approaches 2 = Documentation includes and emphasizes proactive approaches AND administrator reports consistent use
1.7 **Professional Development:** A written process is used for orienting all faculty/staff on 4 core Tier I SWPBIS practices: (a) teaching school-wide expectations, (b) acknowledging appropriate behavior, (c) correcting errors, and (d) requesting assistance.	• Professional development calendar • Staff handbook	0 = No process for teaching staff is in place 1 = Process is informal/unwritten, not part of professional development calendar, and/or does not include all staff or all 4 core Tier I practices 2 = Formal process for teaching all staff all aspects of Tier I system, including all 4 core Tier I practices
1.8 **Classroom Procedures:** Tier I features (school-wide expectations, routines, acknowledgements, in-class continuum of consequences) are implemented within classrooms and consistent with school-wide systems.	• Staff handbook • Informal walkthroughs • Progress monitoring • Individual classroom data	0 = Classrooms are not formally implementing Tier I 1 = Classrooms are informally implementing Tier I but no formal system exists 2 = Classrooms are formally implementing all core Tier I features, consistent with school-wide expectations

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
1.9 **Feedback and Acknowledgement:** A formal system (i.e., written set of procedures for specific behavior feedback that is [a] linked to school-wide expectations and [b] used across settings and within classrooms) is in place and used by at least 90% of a sample of staff and received by at least 50% of a sample of students.	• TFI Walkthrough Tool	0 = No formal system for acknowledging students 1 = Formal system is in place but is used by at least 90% of staff and/or received by at least 50% of students 2 = Formal system for acknowledging student behavior is used by at least 90% of staff AND received by at least 50% of students
1.10 **Faculty Involvement:** Faculty are shown school-wide data regularly and provide input on universal foundations (e.g., expectations, acknowledgements, definitions, consequences) at least every 12 months.	• PBIS Self-Assessment Survey • Informal surveys • Staff meeting minutes • Team meeting minutes	0 = Faculty are not shown data at least yearly and do not provide input 1 = Faculty have been shown data more than yearly OR have provided feedback on Tier I foundations within the past 12 months but not both 2 = Faculty are shown data at least 4 times per year AND have provided feedback on Tier I practices within the past 12 months
1.11 **Student/Family/Community Involvement:** Stakeholders (students, families, and community members) provide input on universal foundations (e.g., expectations, consequences, acknowledgements) at least every 12 months.	• Surveys • Voting results from parent/family meeting • Team meeting minutes	0 = No documentation (or no opportunities) for stakeholder feedback on Tier I foundations 1 = Documentation of input on Tier I foundations, but not within the past 12 months or input but not from all types of stakeholders 2 = Documentation exists that students, families, and community members have provided feedback on Tier I practices within the past 12 months

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
Subscale: Evaluation		
1.12 **Discipline Data:** Tier I team has instantaneous access to graphed reports summarizing discipline data organized by the frequency of problem behavior events by behavior, location, time of day, and by individual student.	• School policy • Team meeting minutes • Student outcome data	0 = No centralized data system with ongoing decision making exists 1 = Data system exists but does not allow instantaneous access to full set of graphed reports 2 = Discipline data system exists that allows instantaneous access to graphs of frequency of problem behavior events by behavior, location, time of day, and student
1.13 **Data-based Decision Making:** Tier I team reviews and uses discipline data and academic outcome data (e.g., Curriculum-Based Measures, state tests) at least monthly for decision-making.	• Data decision rules • Staff professional development calendar • Staff handbook • Team meeting minutes	0 = No process/protocol exists, or data are reviewed but not used 1 = Data reviewed and used for decision-making, but less than monthly 2 = Team reviews discipline data and uses data for decision-making at least monthly. If data indicate an academic or behavior problem, an action plan is developed to enhance or modify Tier I supports
1.14 **Fidelity Data:** Tier I team reviews and uses SWPBIS fidelity (e.g., SET, BoQ, TIC, SAS, Tiered Fidelity Inventory) data at least annually.	• School policy • Staff handbook • School newsletters • School website	0 = No Tier I SWPBIS fidelity data collected 1 = Tier I fidelity collected informally and/or less often than annually 2 = Tier I fidelity data collected and used for decision making annually

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
1.15 Annual Evaluation: Tier I team documents fidelity and effectiveness (including on academic outcomes) of Tier I practices at least annually (including year-by-year comparisons) that are shared with stakeholders (staff, families, community, district) in a usable format.	• Staff, student, and family surveys • Tier I handbook • Fidelity tools • School policy • Student outcomes • District reports • School newsletters	0 = No evaluation takes place, or evaluation occurs without data 1 = Evaluation conducted, but not annually, or outcomes are not used to shape the Tier I process and/or not shared with stakeholders 2 = Evaluation conducted at least annually, and outcomes (including academics) shared with stakeholders, with clear alterations in process based on evaluation

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Tier II: Targeted SWPBIS Features

NOTE: This section may be completed individually or with other tiers as part of the full Tiered Fidelity Inventory

Feature	Possible Data Sources	Scoring Criteria
Subscale: Teams		
2.1 **Team Composition:** Tier II (or combined Tier II/III) team includes a Tier II systems coordinator and individuals able to provide (a) applied behavioral expertise, (b) administrative authority, (c) knowledge of students, and (d) knowledge about operation of school across grade levels and programs.	• School organizational chart • Tier II team meeting minutes	0 = Tier II team does not include coordinator or all 4 core areas of Tier II team expertise 1 = Tier II team does not include coordinator and all 4 core areas of Tier II team expertise OR attendance of these members is below 80% 2 = Tier II team is composed of coordinator and individuals with all 4 areas of expertise, AND attendance of these members is at or above 80%
2.2 **Team Operating Procedures:** Tier II team meets at least monthly and has (a) regular meeting format/agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.	• Tier II team meeting agendas and minutes • Tier II meeting roles descriptions • Tier II action plan	0 = Tier II team does not use regular meeting format/ agenda, minutes, defined roles, or a current action plan 1= Tier II team has at least 2 but not all 4 features 2 = Tier II team meets at least monthly and uses regular meeting format/agenda, minutes, defined roles, AND has a current action plan

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
2.3 **Screening:** Tier II team uses decision rules and multiple sources of data (e.g., ODRs, academic progress, screening tools, attendance, teacher/family/student nominations) to identify students who require Tier II supports.	• Multiple data sources used (e.g., ODRs, time out of instruction, attendance, academic performance) • Team decision rubric • Team meeting minutes • School policy	0 = No specific rules for identifying students who qualify for Tier II supports 1 = Data decision rules established but not consistently followed or used with only one data source 2 = Written policy exists that (a) uses multiple data sources for identifying students, and (b) ensures that families are notified promptly when students enter Tier II supports
2.4 **Request for Assistance:** Tier II planning team uses written request for assistance form and process that are timely and available to all staff, families, and students.	• School handbook • Request for assistance form • Family handbook	0 = No formal process 1 = Informal process in place for staff and families to request assistance 2 = Written request for assistance form and process are in place and team responds to request within 3 days
Subscale: Interventions		
2.5 **Options for Tier II Interventions:** Tier II team has multiple ongoing behavior support interventions with documented evidence of effectiveness matched to student need.	• School Tier II handbook • Targeted Interventions Reference Guide	0 = No Tier II interventions with documented evidence of effectiveness are in use 1 = Only 1 Tier II intervention with documented evidence of effectiveness is in use 2 = Multiple Tier II interventions with documented evidence of effectiveness matched to student need

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
2.6 Tier II Critical Features: Tier II behavior support interventions provide (a) additional instruction/time for student skill development, (b) additional structure/predictability, and/or (c) increased opportunity for feedback (e.g., daily progress report).	• Universal lesson plans • Tier II lesson plans • Daily/weekly progress report • School schedule • School Tier II handbook	0 = Tier II interventions do not promote additional instruction/time, improved structure, or increased feedback 1 = All Tier II interventions provide some but not all 3 core Tier II features 2 = All Tier II interventions include all 3 core Tier II features
2.7 Practices Matched to Student Need: A formal process is in place to select Tier II interventions that are (a) matched to student need (e.g., behavioral function), and (b) adapted to improve contextual fit (e.g., culture, developmental level).	• Data sources used to identify interventions • School policy • Tier II handbook • Needs assessment • Targeted Interventions Reference Guide	0 = No process in place 1 = Process for selecting Tier II interventions does not include documentation that interventions are matched to student need 2 = Formal process in place to select practices that match student need and have contextual fit (e.g., developmentally and culturally appropriate)
2.8 Access to Tier I Supports: Tier II supports are explicitly linked to Tier I supports, and students receiving Tier II supports have access to, and are included in, Tier I supports.	• Universal lesson plans and teaching schedule • Tier II lesson plans • Acknowledgement system • Student of the month documentation • Family communication	0 = No evidence that students receiving Tier II interventions have access to Tier I supports 1 = Tier II supports are not explicitly linked to Tier I supports and/or students receiving Tier II interventions have some, but not full access to Tier I supports 2 = Tier II supports are explicitly linked to Tier I supports, and students receiving Tier II interventions have full access to all Tier I supports

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
2.9 **Professional Development:** A written process is followed for teaching all relevant staff how to refer students and implement each Tier II intervention that is in place.	• Professional development calendar • Staff handbook • Lesson plans for teacher trainings • School policy	0 = No process for teaching staff in place 1 = Professional development and orientation process is informal 2 = Written process used to teach and coach all relevant staff in all aspects of intervention delivery, including request for assistance process, using progress report as an instructional prompt, delivering feedback, and monitoring student progress
Subscale: Evaluation		
2.10 **Level of Use:** Team follows written process to track proportion of students participating in Tier II supports, and access is proportionate.	• Tier II enrollment data • Tier II team meeting minutes • Progress monitoring tool	0 = Team does not track number of students responding to Tier II interventions 1 = Team defines criteria for responding to each Tier II intervention and tracks students, but fewer than 5% of students are enrolled 2 = Team defines criteria and tracks proportion, with at least 5% of students receiving Tier II supports
2.11 **Student Performance Data:** Tier II team tracks proportion of students experiencing success (% of participating students being successful) and uses Tier II intervention outcomes data and decision rules for progress monitoring and modification.	• Student progress data (e.g., % of students meeting goals) • Intervention Tracking Tool • Daily/Weekly Progress Report sheets • Family communication	0 = Student data not monitored 1 = Student data monitored but no data decision rules established to alter (e.g., intensify or fade) support 2 = Student data (% of students being successful) monitored and used at least monthly, with data decision rules established to alter (e.g., intensify or fade) support, and shared with stakeholders

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
2.12 **Fidelity Data:** Tier II team has a protocol for ongoing review of fidelity for each Tier II practice.	• Tier II coordinator training • District technical assistance • Fidelity probes taken monthly by a Tier II team member	0 = Fidelity data are not collected for any practice 1 = Fidelity data (e.g., direct, self-report) collected for some but not all Tier II interventions 2 = Periodic, direct assessments of fidelity collected by Tier II team for all Tier II interventions
2.13 **Annual Evaluation:** At least annually, Tier II team assesses overall effectiveness and efficiency of strategies, including data-decision rules to identify students, range of interventions available, fidelity of implementation, and on-going support to implementers; and evaluations are shared with staff and district leadership.	• Staff and student surveys • Tier II handbook • Fidelity tools • School policy • Student outcomes • District reports	0 = No data-based evaluation takes place 1 = Evaluation conducted, but outcomes not used to shape the Tier II process 2 = Evaluation conducted at least annually, and outcomes shared with staff and district leadership, plus clear alterations in process proposed based on evaluation

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Tier III: Intensive SWPBIS Features

NOTE: This section may be completed individually or with other tiers as part of the full Tiered Fidelity Inventory

Feature	Possible Data Sources	Scoring Criteria
Subscale: Teams		
3.1 **Team Composition:** Tier III systems planning team (or combined Tier II/III team) includes a Tier III systems coordinator and individuals who can provide (a) applied behavioral expertise, (b) administrative authority, (c) multi-agency supports (e.g., person centered planning, wraparound, RENEW) expertise, (d) knowledge of students, and (e) knowledge about the operations of the school across grade levels and programs.	• School organizational chart • Tier III team meeting minutes	0 = Tier III team does not include a trained systems coordinator or all 5 identified functions 1 = Tier III team members have some but not all 5 functions, and/or some but not all members have relevant training or attend at least 80% of meetings 2 = Tier III team has a coordinator and all 5 functions, AND attendance of these members is at or above 80%
3.2 **Team Operating Procedures:** Tier III team meets at least monthly and has (a) regular meeting format/agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.	• Tier III team meeting agendas and minutes • Tier III meeting roles descriptions • Tier III action plan	0 = Tier III team does not use regular meeting format/agenda, minutes, defined roles, or a current action plan 1 = Tier III team has at least 2 but not all 4 features 2 = Tier III team meets at least monthly and uses regular meeting format/agenda, minutes, defined roles, AND has a current action plan

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
3.3 **Screening:** Tier III team uses decision rules and data (e.g., ODRs, Tier II performance, academic progress, absences, teacher/family/student nominations) to identify students who require Tier III supports.	• School policy • Team decision rubric • Team meeting minutes	0 = No decision rules for identifying students who should receive Tier III supports 1 = Informal process or one data source for identifying students who qualify for Tier III supports 2 = Written data decision rules used with multiple data sources for identifying students who qualify for Tier III supports, and evidence the policy/rubric includes option for teacher/family/student nominations
3.4 **Student Support Team:** For each individual student support plan, a uniquely constructed team exists (with input/approval from student/family about who is on the team) to design, implement, monitor, and adapt the student-specific support plan.	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet)	0 = Individual student support teams do not exist for all students who need them 1 = Individual student support teams exist, but are not uniquely designed with input from student/family and/or team membership has partial connection to strengths and needs 2 = Individual student support teams exist, are uniquely designed with active input/approval from student/family (with a clear link of team membership to student strengths and needs), and meet regularly to review progress data

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
Subscale: Resources		
3.5 **Staffing:** An administrative plan is used to ensure adequate staff is assigned to facilitate individualized plans for the students enrolled in Tier III supports.	• Administrative plan • Tier III team meeting minutes • FTE (i.e., paid time) allocated to Tier III supports	0 = Personnel are not assigned to facilitate individual student support teams 1 = Personnel are assigned to facilitate some individual support teams, but not at least 1% of enrollment 2 = Personnel are assigned to facilitate individualized plans for all students enrolled in Tier III supports
3.6 **Student/Family/Community Involvement:** Tier III team has district contact person(s) with access to external support agencies and resources for planning and implementing non-school-based interventions (e.g., intensive mental health) as needed.	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet)	0 = District contact person not established 1 = District contact person established with external agencies, OR resources are available and documented in support plans 2 = District contact person established with external agencies, AND resources are available and documented in support plans
3.7 **Professional Development:** A written process is followed for teaching all relevant staff about basic behavioral theory, function of behavior, and function-based intervention.	• Professional development calendar • Staff handbook • Lesson plans for teacher trainings • School policy	0 = No process for teaching staff in place 1 = Professional development and orientation process is informal 2 = Written process used to teach and coach all relevant staff in basic behavioral theory, function of behavior, and function-based intervention

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
Subscale: Support Plans		
3.8 **Quality of Life Indicators:** Assessment includes student strengths and identification of student/family preferences for individualized support options to meet their stated needs across life domains (e.g., academics, health, career, social).	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet)	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet) 0 = Quality of life needs/goals and strengths not defined, or there are no Tier III support plans 1 = Strengths and larger quality of life needs and related goals defined, but not by student/family or not reflected in the plan 2 = All plans document strengths and quality of life needs and related goals defined by student/family
3.9 **Academic, Social, and Physical Indicators:** Assessment data are available for academic (e.g., reading, math, writing), behavioral (e.g., attendance, functional behavioral assessment, suspension/expulsion), medical, and mental health strengths and needs, across life domains where relevant.	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet)	0 = Student assessment is subjective or done without formal data sources, or there are no Tier III support plans 1 = Plans include some but not all relevant life-domain information (e.g., medical, mental health, behavioral, academic) 2 = All plans include medical, mental health information, and complete academic data where appropriate
3.10 **Hypothesis Statement:** Behavior support plans include a hypothesis statement, including (a) operational description of problem behavior, (b) identification of context where problem behavior is most likely, and (c) maintaining reinforcers (e.g., behavioral function) in this context.	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet)	0 = No plans include a hypothesis statement with all 3 components, or there are no Tier III support plans 1 = 1 or 2 plans include a hypothesis statement with all 3 components 2 = All plans include a hypothesis statement with all 3 components

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
3.11 **Comprehensive Support:** Behavior support plans include or consider (a) prevention strategies, (b) teaching strategies, (c) strategies for removing rewards for problem behavior, (d) specific rewards for desired behavior, (e) safety elements where needed, (f) a systematic process for assessing fidelity and impact, and (g) the action plan for putting the support plan in place.	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet)	0 = No plans include all 7 core support plan features, or there are no Tier III support plans 1 = 1 or 2 plans include all 7 core support plan features 2 = All plans include all 7 core support plan features
3.12 **Formal and Natural Supports:** Behavior support plan(s) requiring extensive and coordinated support (e.g., person centered planning, wraparound, RENEW) documents quality of life strengths and needs to be completed by formal (e.g., school/district personnel) and natural (e.g., family, friends) supporters.	• At least one Tier III behavior support plan requiring extensive support (see TFI Tier III Support Plan Worksheet)	0 = Plan does not include specific actions, or there are no plans with extensive support 1 = Plan includes specific actions, but they are not related to the quality of life needs and/or do not include natural supports 2 = Plan includes specific actions, linked logically to the quality of life needs, and they include natural supports
3.13 **Access to Tier I and Tier II Supports:** Students receiving Tier III supports have access to, and are included in, available Tier I and Tier II supports.	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet)	0 = Individual student support plans do not mention Tier I and/or Tier II supports, or there are no Tier III support plans 1 = Individual supports include some access to Tier I and/or Tier II supports 2 = Tier III supports include full access to any appropriate Tier I and Tier II supports and document how access will occur

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
Subscale: Evaluation		
3.14 **Data System:** Aggregated (i.e., overall school-level) Tier III data are summarized and reported to staff at least monthly on (a) fidelity of support plan implementation, and (b) impact on student outcomes.	• Reports to staff • Staff meeting minutes • Staff report	0 = No quantifiable data 1 = Data are collected on outcomes and/or fidelity but not reported monthly 2 = Data are collected on student outcomes AND fidelity and are reported to staff at least monthly for all plans
3.15 **Data-based Decision Making:** Each student's individual support team meets at least monthly (or more frequently if needed) and uses data to modify the support plan to improve fidelity of plan implementation and impact on quality of life, academic, and behavior outcomes.	• Three randomly selected Tier III student behavior support plans created in the last 12 months (see TFI Tier III Support Plan Worksheet)	0 = Student individual support teams do not review plans or use data 1 = Each student's individual support team reviews plan, but fidelity and outcome data are not both used for decision making or not all teams review plans 2 = Each student's individual support team continuously monitors data and reviews plan at least monthly, using both fidelity and outcomes data for decision making
3.16 **Level of Use:** Team follows written process to track proportion of students participating in Tier III supports, and access is proportionate.	• Student progress data • Tier III team meeting minutes	0 = School does not track proportion or no students have Tier III plans 1 = Fewer than 1% of students have Tier III plans 2 = All students requiring Tier III supports (and at least 1% of students) have plans

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Feature	Possible Data Sources	Scoring Criteria
3.17 **Annual Evaluation:** At least annually, the Tier III systems team assesses the extent to which Tier III supports are meeting the needs of students, families, and school personnel; and evaluations are used to guide action planning.	• Tier III team meeting minutes • Tier III team action plan • Team member verbal reports	0 = No annual review 1 = Review is conducted but less than annually, or done without impact on action planning 2 = Written documentation of an annual review of Tier III supports, with specific decisions related to action planning

Scoring Criteria: 0=Not implemented; 1=Partially implemented; 2=Fully implemented

Scoring the SWPBIS Tiered Fidelity Inventory

The TFI generates scores reflecting the percentage of implementation for Tier I, Tier II, and Tier III core features. Scores are determined by calculating the percentage of possible points awarded for items in each tier (section). No weighting of items is included in this calculation (see below).

Core Features	Items/ Points	Points Award/ Possible Points	Percentage of SWPBIS Implementation
Tier I	1-15 / 30 points	_____/ 30	
Tier II	1-13 / 26 points	_____/ 26	
Tier III	1-17 / 34 points	_____/ 34	

Across time, a school may monitor progress on implementation of SWPBIS by tier as depicted in the simulated data for a school in the figure below. This sample school used the TFI to assess Tier I at six different points in time, Tier II during the last four points in time, and Tier III during the last three points in time.

Tiered Fidelity Inventory Scores for One School Across Six Administrations of the Survey

Time 1   Time 2   Time 3   Time 4   Time 5   Time 6
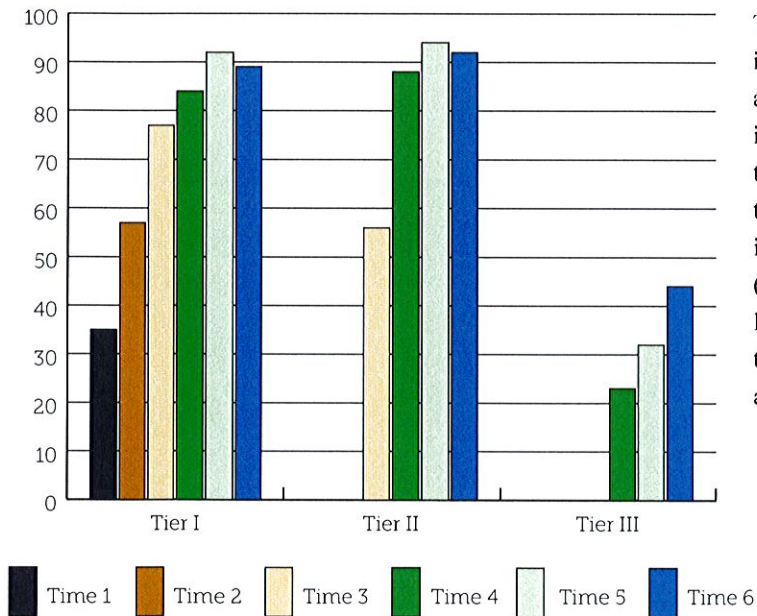
The Inventory also provides a "by Item" report in the PBIS Assessment application, available at www.pbisassessment.org. This Item Report is the basis for Action Planning and is designed to facilitate the decision-making of a team as they identify (a) which items will be the focus of implementation efforts for the coming month, and (b) what the specific action(s) will be, who will lead in completing the action, and a date by which the action is expected to be completed. A sample action planning format is provided below.

Action Planning Form

Item	Current Score	Action	Who	When
Tier I				
1.1 Team Composition				
1.2 Team Operating Procedures				
1.3 Behavioral Expectations				
1.4 Teaching Expectations				
1.5 Problem Behavior Definitions				
1.6 Discipline Policies				
1.7 Professional Development				
1.8 Classroom Procedures				
1.9 Feedback and Acknowledgement				
1.10 Faculty Involvement				
1.11 Student/ Family/ Community/ Involvement				
1.12 Discipline Data				
1.13 Data-Based Decision Making				
1.14 Fidelity Data				
1.15 Annual Evaluation				
Tier II				
2.1 Team Composition				
2.2 Team Operating Procedures				
2.3 Screening				
2.4 Request for Assistance				
2.5 Options for Tier II Interventions				
2.6 Tier II Critical Features				
2.7 Practices Matched to Student Need				

Item	Current Score	Action	Who	When
2.8 Access to Tier I Supports				
2.9 Professional Development				
2.10 Level of Use				
2.11 Student Performance Data				
2.12 Fidelity Data				
2.13 Annual Evaluation				
Tier III				
3.1 Team Composition				
3.2 Team Operating Procedures				
3.3 Screening				
3.4 Student Support Team				
3.5 Staffing				
3.6 Student/ Family/ Community Involvement				
3.7 Professional Development				
3.8 Quality of Life Indicators				
3.9 Academic, Social, and Physical Indicators				
3.10 Hypothesis Statement				
3.11 Comprehensive Support				
3.12 Formal and Natural Supports				
3.13 Access to Tier I and Tier II Supports				
3.14 Data System				
3.15 Data-Based Decision Making				
3.16 Level of Use				
3.17 Annual Evaluation				

Appendix A: SWPBIS Tiered Fidelity Inventory Walkthrough Tool

Overview
Purpose

This form is used as part of completing the SWPBIS Tiered Fidelity Inventory's Tier I subscale. Use this form to interview a random selection of staff (at least 10% of staff or at least 5 for smaller schools) and students (minimum of 10). This process should take no more than 15 minutes.

Who Should Complete the Tool

It is recommended that this tool is completed by an individual who is external to the school (e.g., external coach, coordinator, evaluator). This use allows for the Tiered Fidelity Inventory to serve as more of an external evaluation than self-assessment. Alternatively, an individual from the school team may complete this tool if the purpose of assessment is for progress monitoring between external evaluations.

Procedure

Randomly select staff and students as you walk through the school. Use this page as a reference for all other interview questions. Use the interview form to record staff and student responses.

Staff Interview Questions

Interview at least 10% of staff or at least 5 for smaller schools

1. What are the _____ (school rules, high 5's, 3 bee's)? (Define what the acronym means)

2. Have you taught the school rules/behavioral expectations this year?

3. Have you given out any _____ since _____?
   (rewards for appropriate behavior)   (2 months ago)

Student interview Questions

Interview a minimum of 10 students

1. What are the _____ (school rules, high 5's, 3 bee's)? (Define what the acronym means)

2. Have you received a _____ since _____?
   (reward for appropriate behavior)   (2 months ago)

SWPBIS Tiered Fidelity Inventory Walkthrough Tool
Interview and Observation Form

School _____   Date _____

District _____   State _____

Data collector _____

School-wide Expectations: Name of School-wide Expectations:

1. _____

2. _____   _____

3. _____   Name of Acknowledgment System:

4. _____   _____

5. _____

Staff Questions (Interview 10% or at least 5 staff members)				Student Questions (at least 10 students)		
	What are the (school rules)? Record the # of rules known.	Have you taught the school rules/ behavior expectations to students this year?	Have you given out any _____ since _____? (2 mos.)		What are the (school rules)? Record the # of rules known	Have you received a _____ since _____?
1		Y N	Y N	1		Y N
2		Y N	Y N	2		Y N
3		Y N	Y N	3		Y N
4		Y N	Y N	4		Y N
5		Y N	Y N	5		Y N
6		Y N	Y N	6		Y N
7		Y N	Y N	7		Y N
8		Y N	Y N	8		Y N
9		Y N	Y N	9		Y N
10		Y N	Y N	10		Y N
11		Y N	Y N	11		Y N
12		Y N	Y N	12		Y N
13		Y N	Y N	13		Y N
14		Y N	Y N	14		Y N
15		Y N	Y N	15		Y N
Total				Total		

Appendix B: Targeted Interventions Reference Guide

A Reference Guide for Function-Based Support Options (Horner & Todd, 2002)

Purpose of Reference Guide

This Reference Guide is designed to be used as a map when discussing function based support needs for students. Use this reference guide when trying to determine intervention options for individual students.

Targeted Interventions Defined

Components of a targeted intervention include (a) increased structure & prompts, (b) instruction on skills, (c) increased regular feedback, and (d) the intervention is available to anyone at anytime.

Instructions

List the targeted interventions that are available in your school. Identify the possible functions that the intervention is designed to deliver by putting an X in the cell of the matrix.

Examples

- **Check In-Check Out** may offer predictable adult attention, organizational structure, and an option for accessing choices through the day.

- **Social Skills Club** participation may offer opportunities for instruction and practice on skills, choice, peer and adult attention and individualized support.

- **Reading Buddies** may offer access to peer attention, choice, option to avoid aversive situation, and individualized support.

Targeted Intervention	Check in, Check out	Social Skills Club	Reading Buddies	Homework Club	Lunch Buddies
Access to Adult Attention	yes	yes	yes	yes	yes
Access to Peer Attention	yes	yes	yes		yes
Access to Choice of Alternatives/Activities	yes	yes	yes	yes	yes
Option for Avoiding Aversive Activities	yes	yes	yes		yes
Option for Avoiding Aversive Social Peer/ Adult Attention	yes				yes
Structural Prompts for 'What To Do' Throughout the Day	yes	yes			
At Least 5 Times During the Day When Positive Feedback is Set Up	yes				
A School-Home Communication System	yes			yes	
Opportunity for Adaptation into a Self-Management System	yes	yes	yes	yes	yes

Targeted Interventions Reference Guide Map

This Reference Guide is designed to be used as a map when discussing function based support needs for students. Use this Reference Guide when trying to determine intervention options for individual students.

School: _____   Date: _____

Targeted Intervention					
Access to Adult Attention					
Access to Peer Attention					
Access to Choice of Alternatives/Activities					
Option for Avoiding Aversive Activities					
Option for Avoiding Aversive Social Peer/ Adult Attention					
Structural Prompts for 'What To Do' Throughout the Day					
At Least 5 Times During the Day When Positive Feedback is Set Up					
A School-Home Communication System					
Opportunity for Adaptation into a Self-Management System					

Appendix C: TFI Tier III Support Plan Worksheet

(used for scoring features 3.4, 3.6, 3.8-3.13, and 3.15)

Directions: Select 3 current Tier III plans created in the last 12 months for students needing behavior support. If there are more than 3 plans available, randomly select 3. If there are no plans available, score a 0 for all TFI feature scores. If there are only 1 or 2 plans available, score a TFI feature as 2 only if all plans are scored as 2.

TFI Feature	Scoring Criteria	Plan #1	Plan #2	Plan #3	Sum of Points	TFI Score
3.4 Plans include uniquely constructed team (with input/approval from student/ family about who is on the team).	0 = Plan does not identify the individual student's team	0	0	0		0 = 0
	1 = Plan identifies team, but no evidence it was designed with input from student/family or connected to strengths/needs	1	1	1		1-5 = 1
	2 = Plan identifies team designed with input from student/family, connected to strengths/needs, and meets regularly	2	2	2		6 = 2
3.6 Plans document (a) district contact person for external agency support and (b) external resources available.	0 = No contact person or resources documented	0	0	0		0 = 0
	1 = Contact person OR resources documented	1	1	1		1-5 = 1
	2 = Contact person AND resources documented	2	2	2		6 = 2
3.8 Plans include quality of life (QOL) needs/goals and strengths.	0 = No QOL needs/goals or strengths defined	0	0	0		0 = 0
	1 = QOL needs/goals or strengths defined, but not by student/family or not reflected in plan	1	1	1		1-5 = 1
	2 = QOL needs/goals or strengths defined by student/family AND reflected in plan	2	2	2		6 = 2
3.9 Assessment data are available for academic, behavioral, medical, and mental health strengths and needs, where relevant.	0 = No formal data sources for student assessment	0	0	0		0 = 0
	1 = Includes some but not all relevant life-domain information	1	1	1		1-5 = 1
	2 = Includes medical, mental health information, and complete academic data where appropriate	2	2	2		6 = 2
3.10 Plans include a hypothesis statement, including (a) operational description, (b) identification of antecedents, and (c) behavioral function.	0 = Hypothesis statement does not include all 3 parts (or is missing)	0	0	0		0 = 0
	2 = Hypothesis statement includes all 3 parts	2	2	2		2-4 = 1
						6 = 2
3.11 Plans include or consider (a) prevention, (b) teaching, (c) removing rewards for problem behavior, (d) rewards for desired behavior, (e) safety, (f) process for assessing fidelity and impact, and (g) action plan.	0 = Plan does not include all 7 parts	0	0	0		0 = 0
	2 = Plan includes all 7 parts	2	2	2		2-4 = 1
						6 = 2
3.12 Plans requiring extensive support include specific actions linked to quality of life (QOL) for formal supporters (e.g., school/district personnel) and natural supporters (e.g., family, friends).	0 = Plan does not include specific actions, or there are no plans with extensive support	0	Only one plan needed.			0 = 0
	1 = Plan includes specific actions, but unrelated to QOL needs and/or do not include natural supports	1				1 = 1
	2 = Plan includes specific actions related to QOL needs and include natural supports	2				2 = 2
3.13 Plans include access to Tier I/II supports.	0 = Plan does not mention Tier I/II supports	0	0	0		0 = 0
	1 = Plan notes access to Tier I/II supports	1	1	1		1-5 = 1
	2 = Plan documents how access to Tier I/II supports occurs	2	2	2		6 = 2
3.15 Each student's individual team meets at least monthly and uses data to modify plan to improve fidelity or outcomes.	0 = No evidence of meetings, plan review, or use of data	0	0	0		0 = 0
	1 = Evidence of review, but no use of both fidelity and outcomes data	1	1	1		1-5 = 1
	2 = Evidence of at least monthly review, with use of both fidelity and outcomes data	2	2	2		6 = 2

PET-R Literacy Needs Assessment - K-2 Elementary

Planning and Evaluation Tool for Reading - K-2

Page description:
Based on your knowledge of your school's literacy program (e.g., goals, materials, allocated time), use the following survey to **rate your school's literacy implementation.**

Each item has a value of 0-not in place, 1-partially in place, or 2-fully in place, to indicate the level of implementation (beginning on page 2).

Please note that some items are designated with a factor, (e.g., x 2). Items with this designation are considered more important in the overall reading program.

Use the "Comments" box at the bottom of questions 6-43 to document available EVIDENCE to support your rating for each item (i.e., lesson plans, agenda, anecdotal records, assessments). EVIDENCE IS REQUIRED.

1. What is the name of the school where you are currently employed? *

2. What is your current position? *

- ○ Administrator
- ○ Instructional Facilitator
- ○ Reading Interventionist
- ○ Special Education Teacher
- ○ General Education Teacher
- ○ Paraprofessionals
- ○ Other - Write In (Required)

[   ]   *

3. What grade do you teach? (If applicable)

- ○ Kindergarten
- ○ First
- ○ Second
- ○ Third

4. What are your number of years of experience in education? *

- ○ 0-5
- ○ 6-10
- ○ 11-20
- ○ over 20

5. What is the number of years you have taught at this school? *

○ 0-3

○ 4-6

○ 7-10

○ over 10

Planning and Evaluation Tool for Reading - K-2

Page description:
Based on your knowledge of your school's literacy program (e.g., goals, materials, allocated time), use the following survey to **rate your school's literacy implementation.**

Each item has a value of 0-not in place, 1-partially in place, or 2-fully in place, to indicate the level of implementation (beginning on page 2).

Please note that some items are designated with a factor, (e.g., x 2). Items with this designation are considered more important in the overall reading program.

Use the "Comments" box at the bottom of questions 6-43 to document available EVIDENCE to support your rating for each item (i.e., lesson plans, agenda, anecdotal records, assessments). EVIDENCE IS REQUIRED.

6. Literacy goals and objectives are clearly defined and measured at each grade level. *

○ Not in place

○ Partially in place

○ Fully in place

7. What is your current position? *

  ○ Administrator

  ○ Instructional Facilitator

  ○ Reading Interventionist

  ○ Special Education Teacher

  ○ General Education Teacher

  ○ Paraprofessionals

  ○ Other - Write In (Required)

  [   ]   *

8. What grade do you teach? (If applicable)

  ○ Kindergarten

  ○ First

  ○ Second

  ○ Third

9. What are your number of years of experience in education? *

  ○ 0-5

  ○ 6-10

  ○ 11-20

  ○ over 20

10. What is the number of years you have taught at this school? *

- ○ 0-3
- ○ 4-6
- ○ 7-10
- ○ over 10

Goals, Objectives, & Priorities:

11. Literacy goals and objectives are clearly defined and measured at each grade level. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments *

12. Literacy goals and objectives are communicated across grade levels. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments *

13. Goals and objectives are prioritized and dedicated to the essential elements (i.e., phonemic awareness, phonics, fluency, vocabulary, and comprehension) in reading. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments *

14. Literacy goals and objectives guide instructional and curricular decisions.
(i.e., time allocations, curriculum program adoptions) (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments *

15. Literacy goals and objectives are commonly understood and consistently used by teachers and administrators across grades to evaluate and communicate student learning and improve instructional practice. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments *

Assessment:

16. A school-wide literacy assessment system and database are established and maintained for documenting student performance and monitoring progress. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments *

17. Literacy assessment identifies student performance on prioritized goals and objectives.

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

18. Literacy assessment measures are research based. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

19. All users receive training and follow up on measurement, administration, scoring and data interpretation. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

20. At the beginning of the year, screening measures (i.e., DIBELS) identify each student's level of performance and are used to determine instructional needs. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

---

21. Progress monitoring measures are administered formally throughout the year to document and monitor student reading performance (i.e.,quarterly for all students; every 4 weeks for at-risk students.) (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

22. Student performance data are analyzed and summarized in meaningful formats and routinely used by grade-level teams to evaluate and adjust instruction. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

---

23. The building has a resident expert to maintain the assessment system and ensure measures are collected reliably.

○ 0-Not in place

○ 1-Partially in place

○ 2-Fully in place

Comments *

Instructional Programs & Materials:

24. A research-based comprehensive literacy program is adopted for school-wide use. (x3) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

[   ]

25. The instructional program and materials provide explicit and systematic instruction on critical reading priorities (i.e., phonemic awareness, phonics, fluency, vocabulary, and comprehension.) (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

[   ]

26. The literacy instructional materials and program align with and support Common Core Standards and provide sufficient instruction necessary for the majority of students to reach learning goals. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

27. Supplemental and intervention programs are in place to support students who do not benefit adequately from the core program. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

28. Literacy programs and materials are implemented with a high level of fidelity. (x3) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

Instructional Time:

---

29. A schoolwide plan is established to allocate sufficient literacy time and coordinate resources to ensure optimal use of time. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

30. Reading time is prioritized and protected from interruption. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

[ ]

31. Instructional time is allocated to skills and practices most highly correlated with reading success.
(i.e., essential elements of reading including phonemic awareness, phonics, fluency, vocabulary, and comprehension.) (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

[ ]

32. Students in grades K-3 receive a minimum of 30 minutes of small-group, teacher- directed reading instruction daily. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

[   ]

33. Addtional instructional time is allocated to students who fail to make adequate reading progress. *

○ Not at all

○ Partially in Place

○ Fully in Place

Comments *

[   ]

Differentiated Instruction/Grouping/Scheduling

34. Student performance is used to determine the level of instructional materials and to select research-based instructional programs. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

35. Reading instruction is provided in flexible homogeneous groups to maximize student performance and opportunities to respond. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

36. For students who require additional and substantial instructional support, tutoring (1-1), or small group instruction (<6) is used to support teacher-directed large group or whole class instruction. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

37. Group size, instructional time, and instructional programs are determined by and adjusted according to learner performance (i.e., students with greatest needs are in groups that allow more frequent monitoring and opportunities to respond and receive feedback.) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

38. Cross-class and cross-grade grouping is used when appropriate to maximize learning opportunities. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

Administration/Organization/Communication

---

39. Administrators or the leadership team are knowledgeable of Arkansas Core Standards, priority literacy skills and strategies, assessment measures and practices, and instructional programs and materials. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

40. Administrators or the leadership team work with staff to create a coherent plan for literacy instruction and implement practices to attain school reading goals. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

41. Administrators or the leadership team maximize and protect instructional time and organize resources and personnel to support literacy instruction, practice, and assessment. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

42. Grade-level teams are established and supported to analyze reading performance and plan instruction. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

---

43. Concurrent instruction (e.g., Title, Special Education...) is coordinated with and complementary to general education reading instruction. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

44. A communication plan for reporting and sharing literacy student performance with teachers, parents, school, district, and state administrators is in place. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

Professional Development:

45. Teachers and instructional staff have a thorough understanding and working knowledge of grade-level instructional/literacy priorities as well as effective practices. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

46. Ongoing professional development is established to support teachers and instructional staff in the assessment and instruction of literacy priorities. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

47. Time is systematically allocated for educators to analyze, plan, and refine literacy instruction. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

48. Professional development efforts are explicitly linked to literacy practices and programs that have been shown to be effective through documented research. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments *

SWEPT **LiteracyNeedsAssessment Grades 3-5**

School Wide Evaluation & Planning Tool (SWEPT)- Grades 3-8

Page description:
Based on your knowledge of your school's literacy program (e.g., goals, materials, allocated time), use the following survey to **rate the current implementation of your school's literacy program.**

Each item has a value of 0-not in place, 1-partially in place, or 2-fully in place, to indicate the level of implementation (see the following pages).

Please note that some items are designated with a factor, (e.g., x 2 or x3). Items with this designation are considered more important in the overall reading program.

Use the "Comments" box at the bottom of questions 6-45 to document available EVIDENCE to support your rating for each item (i.e., lesson plans, agenda, anecdotal records, assessments). EVIDENCE IS REQUIRED.

1. What is the name of the school where you are currently employed? *

2. What is your current position? *

- ○ Administrator
- ○ Instructional Facilitator
- ○ Reading Interventionist
- ○ Special Education Teacher
- ○ General Education Teacher
- ○ Paraprofessional
- ○ Other - Write In

[   ]

3. What grade do you teach? (If applicable)

- ○ Third
- ○ Fourth
- ○ Fifth
- ○ Sixth
- ○ Seventh
- ○ Eighth

4. What are your number of years of experience in education? *

- ○ 0-5
- ○ 6-10
- ○ 11-20
- ○ over 20

5. What is the number of years you have taught at this school? *

    ○   0-3

    ○   4-6

    ○   7-10

    ○   over 10

GOALS, OBJECTIVE, & PRIORITIES:

6. Literacy goals are clearly defined and measured at each grade level. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments

[   ]

7. Literacy goals and objectives are communicated across grade levels. Needs and supports are clearly specified. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments

[   ]

8. Reading goals and objectives are prioritized and dedicated to the essential elements (i.e., fluency, content knowledge, vocabulary, higher order thinking skills, comprehension, and motivation) in reading and across content areas. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments

9. Literacy goals and objectives guide instructional and curricular decisions (e.g., time allocations, curriculum program adoptions) (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments

10. Literacy goals and objectives are commonly understood and consistently used by teachers and administrators across grades to evaluate and communicate student learning as well as to improve practice. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments

ASSESSMENT:

11. A school-wide literacy assessment system and database are established and maintained for documenting student performance and monitoring progress. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments

12. Literacy assessment identifies students' performance and prioritizes goals and objectives. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

13. Literacy measures are research-based and have high reliability and validity. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

14. All users receive training and follow up on measurement, administration, scoring and data interpretation. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

15. At the beginning of the year, screening measures (i.e., DIBELS) identify each student's level of reading performance and are used to determine instructional needs. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

16. Progress monitoring measures are administered formatively throughout the year to document and monitor student reading performance (i.e.,quarterly for all students; more frequently for at-risk students.) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

17. Student literacy performance data are analyzed and summarized in meaningful formats and routinely used by grade-level teams to evaluate and adjust instruction. (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

18. The building has a "resident" literacy expert or experts to maintain the assessment system and ensure measures are collected reliably, data are scored and entered accurately, and feedback is provided in a timely fashion. *

0- Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

[   ]

INSTRUCTIONAL PROGRAMS & MATERIALS:

19. A core reading program and a plan for content area reading applications with documented research-based efficacy is adopted for use school wide. (x3) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

[   ]

20. The core literacy program and materials provide explicit and systematic instruction on critical reading priorities (i.e., fluency, content knowledge, vocabulary, higher order thinking, comprehension, and motivation.) (x2) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

21. Content area reading application strategies are systematically and explicitly taught by all teachers. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

22. Content area text and instructional materials are selected to promote good content area reading practices and strategies.
(e.g., pre-teaching of vocabulary, clear headings and subheadings, completing graphic organizers, writing summaries) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

23. Students' reading instructional levels are matched to text levels in the content areas. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

24. The literacy instructional curriculum aligns with and supports Common Core Standards and provides sufficient reading instruction in essential elements to allow the majority of students to reach learning goals. *
   Use the "Comments" box to enter evidence to support the answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

25. Research-based supplemental and intervention reading programs are in place to support students who do not benefit adequately from the core literacy program. (x2) *
   Use the "Comment" box to enter the EViDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

26. Literacy curriculum and materials are implemented with a high level of fidelity. (x3) *

Use the "Comment" box to enter the EVIDENCE for your answer.

0-Not in place	1-Partially in place	2-Fully in place
○	○	○

Comments

Instructional Time:

27. Content area texts and instructional materials are selected to promote good content areas reading practices and strategies (e.g. pre-teaching vocabulary, clear headings/subheadings, completing graphic organizers, and writing summaries). *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

28. All students receive at least one hour of literacy instruction daily. Practices most highly correlated with success are emphasized (i.e., explicit vocabulary instruction, enhancing background knowledge, fluency, and comprehension). *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

29. Additional instructional time is allocated to students who fail to make adequate reading progress/struggling readers. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

DIFFERENTIATED INSTRUCTION/GROUPING/SCHEDULING:

30. Student literacy performance is used to determine the level of instructional materials and to select research-based instructional programs. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

31. Instruction is provided through a variety of strategies which maximize student performance and opportunities to respond (e.g., active participation, choral reading, partner, written responses). *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

32. For all students who require additional instructional support, tutoring (1-1), or small group instruction (<6) is used to support teacher-directed large group or whole class instruction. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

33. Group size, instructional time, and literacy instructional programs are determined by and adjusted according to learner performance (i.e., students with greatest needs are in groups that allow more frequent monitoring and opportunities to respond and receive feedback.) *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

34. Cross-class and cross-grade grouping for reading is used in all classes when appropriate to maximize learning opportunities. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

ADMINISTRATION/ORGANIZATION/COMMUNICATION:

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35. Administrators or the leadership team are knowledgeable of Common Core Standards, priority reading skills/strategies, reading assessments/practices, and literacy instructional programs/materials. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

36. Administrators or the leadership team work with staff to create a coherent plan for literacy instruction and implement practices to attain school reading goals. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

37. Administrators or the leadership team maximize and protect instructional time and organize resources and personnel to support literacy instruction, practice, and assessment in the content areas in addition to supplemental reading instruction for struggling readers. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

38. Grade-level teams are established and supported to analyze reading performance and plan instruction. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

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39. Concurrent literacy instruction (e.g., Title, Special Education...) is coordinated with and complementary to general education literacy instruction. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

40. A communication plan for reporting and sharing student literacy performance with teachers, parents, school, district, and state administrators is in place. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

PROFESSIONAL DEVELOPMENT:

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41. Teachers and instructional staff have a thorough understanding and working knowledge of grade-level instructional/reading priorities as well as effective practices. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

42. Ongoing professional development is established to support teachers and instructional staff in the assessment and instruction of literacy priorities and application strategies. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

43. Literacy strategies learned in professional development are embedded in daily practices within the classroom. *

Use the "Comments" box to enter EVIDENCE for you answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

44. Time is systematically allocated for educators to analyze, plan, and refine literacy instruction. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

45. Professional development efforts are explicitly linked to literacy practices and programs that have been shown to be effective through documented research. *

Use the "Comments" box to enter the EVIDENCE for your answer.

0-Not at all	1-Partially in place	2-Fully in place
○	○	○

Comments

Doing the Work Together Rubric

Doing the Work Together	Depth of Interaction			
	Informing* Level (Sharing/Sending)	Networking† Level (Exchanging)	Collaborating‡ Level (Engaging)	Transforming¶ Level (Committing to Consensus)
Engaging diverse participants in completing the relevant work.	The expanded group (after coalescing) informs others about the proposed work and the anticipated outcomes, along with the opportunity to participate.	Each group agrees to become the conduit for its members to learn and be involved.	Stakeholders work together to share unique perspectives and begin the work. Efforts to find others who might be important to this work are ongoing and intentional.	Partners who have experienced working together with a diversity of individuals cannot think of any other way to work. This type of engagement is internalized and expected.
Evolving leadership roles.	The expanded group informs its constituents that the effort is underway and opportunities for engagement continue.	Stakeholders share levels of expertise in organization, facilitation, etc. Members begin to identify and ask individuals to facilitate certain activities.	Meeting facilitation is shared among members of the group. Flexibility in leadership is evident based on comfort and skill levels of the individuals.	Members of the group demonstrate willingness to work together to accomplish a common goal. Flexibility in leadership is evident. When a designated facilitator becomes unavailable another steps up from the group.
Working together to understand and articulate the issue.	The expanded group communicates evolving ideas, issues and resources.	The expanded group seeks opportunities for their constituents to respond to the current ideas, issues and resources.	Stakeholders consistently revisit their structures for interaction and revise as needed.	Group members agree and clearly articulate the work through the products created and/or their discussions with others.
Working together to plan and implement action.	The expanded group identifies strategic ways in which to customize messages for its audience and helps them to act.	Participants exchange ideas about the work and how it could be accomplished, possible action steps and timelines.	Through shared decision making, stakeholders create a well-developed action plan. They share responsibility and are actively engaged in implementation of the plan. Transparency and open communication occurs between and among different levels.	Vertical and horizontal influence occurs as a result of implementation of the action plan. Practitioners influence policy and policy influences practice.

* **Informing** — Sharing or disseminating information with others who care about the issue.

† **Networking** — Asking others what they think about this issue and listening to what they say.

‡ **Collaborating** — Engaging people in trying to do something of value and working together around the issue.

¶ **Transforming** — Doing things The Partnership Way (leading by convening, working cross-stakeholder, sharing leadership, building consensus).

References

Carr, J., & Artman, E. (2002). The bottom-up simple approach to school accountability (pp. 253-256). Norwood, MA: Christopher Gordon Publishers.