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Title IV-A Implementation Stages Planning Tool









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Title IV-A Implementation Stages Planning Tool

Title IV, Part A Program Profile

The <u>Title IV, Part A (Title IV-A) Student Support and Academic Enrichment Program (SSAE)</u> was authorized under the Elementary and Secondary Act of 1965, as amended by the <u>Every</u> <u>Student Succeeds Act</u> in 2015. The Title IV-A program is intended to improve students' academic achievement by increasing the capacity of states, local education agencies (LEAs), schools, and local communities to (1) provide all students with access to a well-rounded education, (2) improve school conditions for student learning, and (3) improve the use of technology in order to improve the academic achievement and digital literacy of all students.

The Title IV, Part A Technical Assistance Center (T4PA Center) operates on behalf of the U.S. Department of Education, Office of Safe and Supportive Schools and provides state education agencies (SEAs) with dedicated support for implementing the Title IV-A SSAE Program. As such, the T4PA Center supports Title IV-A state coordinators (SCs) in 57 SEAs. The work of the Title IV-A SCs is multifaceted. From reviewing LEA applications to providing training and technical assistance (T/TA) to juggling a myriad of other roles and responsibilities within the SEA – SCs have a lot to think about and consider. This document provides a tool entitled the *Title IV-A Implementation Stages Planning Tool* that SCs can use to support the work they do with and for their LEAs throughout the Title IV-A cycle.

Using Implementation Science to Support Title IV, Part A Outcomes

Under Title IV-A, <u>states allocate at least 95 percent of their funding to LEAs</u>, and they have the option to reserve up to 5 percent of the allocation for state-level activities, including no more than 1 percent for administrative costs. <u>LEAs that receive funds</u> of \$30,000 or more must conduct a needs assessment and use the results to justify spending in all three program areas in the following way: at least 20 percent for Well-Rounded Education (WRE); at least 20 percent for Safe and Healthy Schools (SHS); and some portion for Effective Use of Technology (EUT), but not more than 15 percent of EUT funds can be expended on technology infrastructure purchases. With this funding structure, SCs spend a significant amount of time reviewing, providing feedback on, and either accepting or rejecting Title IV-A LEA applications. As with any program, funders want to know that funds are being spent wisely and in accordance with the law to meet the desired outcomes. This is where implementation science can help.

Implementation science refers to the "methods or techniques used to enhance the adoption, implementation, and sustainability" of an intervention (Powell et al., 2015). Increasingly, LEAs are able to identify evidence-based practices and programs. However, without appropriate use and analysis of data in selection, an assessment of the fit and feasibility to implement, and intentional use of team processes and tools to ensure that the practices and programs are implemented with fidelity, outcomes are not fully realized. It is not enough to identify evidence practices. Practices need to be clearly operationalized, put in place, and utilized by districts and schools using a stage-based approach to build the infrastructure (i.e., professional learning, data systems, and leadership supports) that facilitates successful implementation (Fixsen et al. 2015).



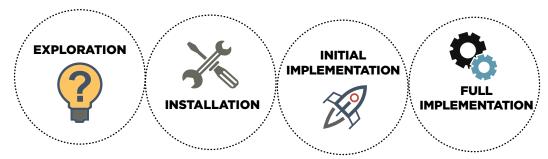
The *Title IV-A Implementation Stages Planning Tool* provides SCs with an overview of each stage of implementation and the activities necessary to reach the intended outcomes of each stage. Prior to using this tool, it may be helpful to engage in additional <u>reading and research</u> to ensure that the selected practices and programs are, indeed, effective and will support intended student outcomes. Using this planning tool will help SCs make informed decisions about the appropriateness of proposed strategies or activities and will help identify areas to provide targeted T/TA support to LEAs. There are many resources that can support the work SEAs and LEAs undertake when implementing programs and practices. Relevant information and tools are linked throughout the document.

Title IV-A Implementation Stages Planning Tool Instructions

Note: The meaning of all bolded terms appear in the Glossary at the end of this document.

Whether using something new, scaling an established program or practice, or supporting an initiative comprising multiple programs and practices, successful **implementation** takes intentional planning and time. Implementation is not an event, but a process involving multiple decisions and actions. Change at the site, local, community, or state level resulting in improved **outcomes** does not occur all at once. Although implementation can take longer than we hope or anticipate, its process and trajectory can be predicted and shaped using a stage-based approach.

Implementation happens in four discernible stages:



- **Exploration** involves the review and analysis of current assets and the needs of the focus population, fit of the program or practice with those assets and needs, and feasibility of implementation.
- **Installation** involves building the **infrastructure** necessary to implement the program or practice, which includes building **practitioner** and organizational capacity.
- **Initial Implementation** includes the initial efforts of staff to use the program or practice, with attention to using data for continuous improvement.
- Full Implementation occurs as staff use the program or practice successfully, and populationlevel outcomes are achieved.

It is important to note that **implementation stages** do not always end as the next begins; stages often overlap, and **activities** can cross stages. There also may be instances in which an organization is in different stages at the same time for different programs/practices. In addition, activities necessary for sustainability are embedded within each stage.



Identifying the current stage of implementation for a program, practice, or initiative can help staff and stakeholders to better understand progress, ensure the use of appropriate implementation strategies for that stage, plan for data collection and usage, and communicate current implementation efforts. Additionally, <u>Title IV-A requires</u> public reporting on how funds made available under this subpart are expended by LEAs, including the degree to which the LEAs have made progress toward meeting the objectives and outcomes described in Section 4106(e)(1)(E). This tool is one way to strategically determine progress toward those outcomes.

The *Title IV-A Implementation Stages Planning Tool* supports identification of the current stage and implementation planning and improvement by providing

- A flow chart to determine the current stage of implementation;
- A list of appropriate stage-based activities; and
- An outline of expected stage-based outcomes.

When to Use

The *Title IV-A Implementation Stages Planning Tool* can be used by SCs and LEA teams at any point in the implementation process. For example, the tool can be used to guide the Title IV-A LEA application process and outline the necessary actions when considering the selection, adoption, or installation of a new program or practice and later implementation work. After the allocation of funding, the tool can also be routinely utilized during the implementation process to identify next steps or, should implementation falter, evaluate potentially missed activities. The tool will help SEA or LEA teams or organizations ensure that implementation activities match current stage of implementation and support moving into subsequent stages of implementation. Additionally, SCs can use the tool to provide T/TA to LEAs. For additional information on providing T/TA, please see <u>Best Practices in Training and Technical Assistance</u>.

How to Use

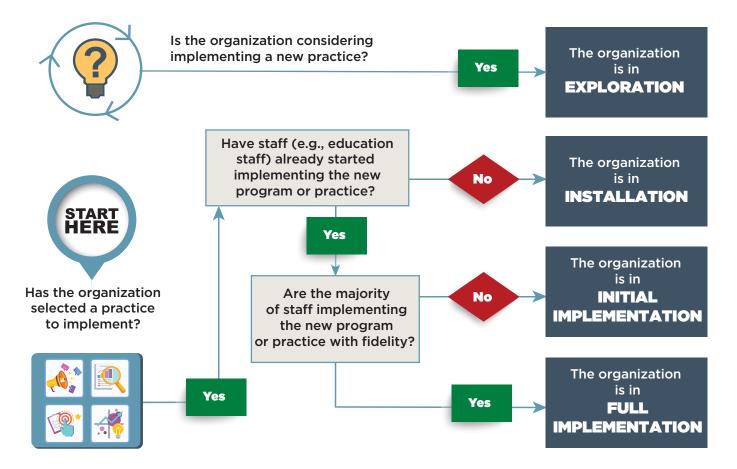
As an SC, as an LEA, or as part of an Implementation Team:

- 1. Identify the program's or practice's implementation to be assessed.
- 2. Use the Implementation Stages Flow Chart to determine the stage of implementation.
- 3. Go to that identified stage's activities and expected outcomes (i.e., Exploration, Installation, Initial Implementation, and Full Implementation).
- 4. For each activity within that stage, check whether the activity is Revisit for Continuous Improvement, In Progress, or Not Yet.
- 5. For each stage's expected outcomes, note level of progress and measure.
- 6. Use the general notes column to capture reflections, needed actions, etc.
- 7. Review previous and future stage activities and expected outcomes to identify improvements needed or planning needs.
- 8. Use the assessment results to build implementation plans, define a scope of work for an Implementation Team, and communicate progress with staff and stakeholders.



Implementation Stages Flow Chart

SCs and LEAs should follow the Implementation Stages Flow Chart to determine what stage of implementation a program or practice is in currently by following the arrows and answering simple yes or no questions. Additionally, SCs can share this flow chart with LEAs to help think through where they are at with implementation. Is the LEA in exploration — just beginning to consider implementing a new program or practice? Or has the LEA already selected a program or practice? It is likely that most programs and activities SCs encounter as they review LEA applications are in the Installation, Initial Implementation, or Full Implementation stage.



Implementation Stages Checklist

SCs can support LEAs as they assess their team's progress within important stage-based activities for the current stage of implementation. Once LEAs have done so, they can review progress within previous or subsequent stages to identify improvements and/or planning needs. Tools and resources are linked within the different stage-based activities. Additional resources can be found by visiting the Active Implementation Hub (<u>https://nirn.fpg.unc.edu/ai-hub</u>) and the T4PA Center's Resource Library (<u>https://t4pacenter.ed.gov/Resources/ResourceLibrary.aspx</u>).



Exploration Stage

Activities	Continuous Improvement	In Progress	Not Yet Initiated
Grow relationships with stakeholders with a variety of perspectives and inclusive of voices not traditionally prioritized <u>Developing Stakeholder</u> <u>Relationships to Support School Programming</u>			
Develop an <u>Implementation Team</u> equitably representative of the staff, organization, and community that are the participants in and recipients of needed changes			
Cultivate <u>Sponsors/Champions</u> that have the authority and cultural capital to promote change			
Assess and create readiness for team, staff, and organization			
Identify the change needed, existing assets, and potential root causes <u>Title IV-A LEA Needs Assessment Tool</u>			
Scan or assess what is currently in place to address the change needed (<u>Initiative Inventory</u>)			
Identify and learn about other potential practices or programs to address the change needed <u>Selecting Evidence-Based Programs and Practices for</u> <u>Title IV, Part A Activities</u>			
Assess fit and feasibility of options to address the change needed; consider need, fit, evidence, usability, capacity, and supports (<u>Hexagon Tool</u>)			
Using fit and feasibility assessment results, identify the option to implement, or choose to reassess need and potential options or choose not to proceed			
Develop communication processes and messages			
Determine what actions will be needed to optimize readiness, develop staff capacity, and identify organization and systems changes needed for the identified option			



Outcomes of Exploration Work	Continuous Improvement	In Progress	Not Yet Initiated
Formation of a core Implementation Team to guide the work			
Demonstrated need for program/practice (i.e., deemed an appropriate change to support identified needs and assets)			
Assessment of fit and feasibility of implementing the program/practice			
Program/practice selected			
Demonstrated acceptability and buy-in (appropriateness) from leaders, staff, and community partners (e.g., individuals, families, community members)			

Skipping Exploration can be costly. Take time to attend to Exploration activities. (Romney, Israel, & Zlatevski, 2014).



Installation Stage

Activities	Continuous Improvement	In Progress	Not Yet Initiated
Ensure that the practice/program is clearly defined			
Revisit Implementation Team membership to ensure needed perspectives			
Ensure that the Implementation Team has the knowledge, skills, functions, and authority to support infrastructure development and improvement of the program/practice			
Convene Implementation Team frequently to use data to critically examine and improve infrastructure supports and resources			
Develop plan for implementation:			
Develop selection protocols for practitioners			
Develop <u>Training/Professional Learning Plans</u>			
Develop coaching plans			
 Develop data systems (what data, how data will be collected used, and shared) 			
 Develop decision making criteria for success and scaling 			
Secure and develop infrastructure resources and supports needed for the program/practice			
Select practitioners			
Provide initial training for practitioners			
Review and refine needed policies and procedures			
Develop and use feedback loops between practitioners, leadership, community partners, and stakeholders to ensure effective communication			
What is the marker of installation?			
A site is in installation once they have made a decision to move forward with a selected program/practice			



Outcomes of Installation Work	Continuous Improvement	In Progress	Not Yet Initiated
Implementation Team is <u>functioning well</u>			
Majority of practitioners are trained in the program/ practice			
Infrastructure is in place to support coaching to effectively develop competencies required to use the program/ practice			
Fidelity criteria are established for the program/practice			
Infrastructure is in place to collect, analyze, and use data (i.e., fidelity, program, and outcome) to continuously improve use of the program or practice) <u>Title IV, Part A</u> <u>Evaluation Guide</u>			
Staff have access to data infrastructure and are equipped to use it			
Policies and procedures to support use of the program/ practice are in place and understood by practitioners, practitioners, leaders, community partners, and stakeholders			
Bi-directional communication is taking place among stakeholders including community partners, individuals and families, practitioners, supervisors, and leaders			

Planning to ensure that needed resources and supports are available helps avoid frustration and false starts.



Initial Implementation Stage

Activities	Continuous Improvement	In Progress	Not Yet Initiated
Convene Implementation Team regularly to use data (e.g., outcome, fidelity, process) to critically examine and improve implementation			
Practitioners begin delivery/use of program/practice			
Implement <u>Coaching Supports</u>			
Continue training/professional learning			
Gather data and feedback through multiple sources including staff, practitioners, recipients, families, and stakeholders to monitor progress <u>Developing Stakeholder Relationships to Support</u> <u>School Programming</u>			
Use a process to develop improvement strategies through analysis of data and feedback			
Refine implementation infrastructure (i.e., training, coaching, data systems, leadership supports, and resources) based on data and feedback			
Use feedback loops with leadership, practitioners, staff, recipients, and stakeholders to communicate about progress, improvement strategies, and success			
Use decision making criteria for expanding use of the practice/program			
What is the marker of Initial Implementation?			
A site is in initial implementation when implementers begin to deliver/use program/practice			



Outcomes of initial implementation Work	Continuous Improvement	In Progress	Not Yet Initiated
Majority of practitioners are using the program/practice			
Data are used regularly to inform decision making and improve implementation of the program/practice <u>Title IV, Part A Evaluation Guide</u>			
Practitioners are beginning to achieve fidelity in their use of the program/practice			
Quality of implementation is improving across practitioners; however, variability in quality exists			
Evidence for feasibility of implementation, such as (1) increase in use of the program/practice with fidelity; (2) increase in staff confidence and skill in using the program/practice; (3) increase in coaches'/supervisors' confidence in supporting staff; and (4) meaningful engagement of recipients and families in the program/ practice			

Initial Implementation is like the "first pancake off the griddle" it is not perfect, because the griddle (infrastructure) is being fine-tuned to be at the right temperature through use of trial and learning



Full Implementation Stage

Activities	Continuous Improvement	In Progress	Not Yet Initiated
Convene Implementation Team regularly to use data (e.g., outcome, fidelity, process) to critically examine and improve implementation			
Monitor and improve implementation supports and resources as needed to sustain implementation			
Continue to collect and use data for improvement (e.g., fidelity and outcome data)			
Continue the training and coaching supports to maintain skillful use of the program or practice			
Continue to use feedback loops with leadership, practitioners, staff, recipients, and stakeholders to communicate about progress, improvement strategies, and success			
Evaluate for expected outcomes Title IV, Part A Evaluation Guide			
What is the marker of Full Implementation?			
At least 50 percent or more of intended practitioners are using the program/practice with fidelity, and outcomes are being achieved			

Outcomes of Full Implementation Work	Continuous Improvement	In Progress	Not Yet Initiated
Data are used regularly to inform decision making and improve implementation of the program/practice <u>Title IV, Part A Evaluation Guide</u>			
Sustained use of the program/practice, with all practitioners delivering with fidelity and ease			
Evidence that identified outcomes are improving through use of the program/practice			

Keep going! To ensure that sustainability of outcomes, data collection (including fidelity), supports for implementers, and continuous improvement cycles are ongoing.



Glossary

Term	Definition
Activities	The specific actions or functions taken by a team to support use of a practice or program.
Exploration Stage	Involves an assessment of assets and needs of the focus population, fit of the program or practice with noted needs and assets, and feasibility of implementation.
Feedback loop	A specific pathway or channel for sending and receiving information and communication messages such as sharing of progress and successes, reporting barriers, and seeking input on decisions.
Full Implementation Stage	Occurs as staff use the program or practice successfully, and population-level outcomes are achieved.
Implementation	A specified set of activities designed to put into use a practice or program of known dimensions.
Implementation science	Implementation science refers to the "methods or techniques used to enhance the adoption, implementation, and sustainability" of a program or practice (Proctor et al., 2013).
Implementation Stages	Implementation Stages outline the sequence of activities needed for sustained use of an evidence-based practice or program. There are four stages: Exploration, Installation, Initial Implementation, and Full Implementation.
Implementation Team	A group staff and stakeholders who oversee, attend to, and are accountable for performing the key functions in the selection, use, and continuous improvement of an evidence-based practice.
Infrastructure	The core mechanisms of an organization that are necessary to successfully use or support the use of a practice or program such as those necessary to build staff knowledge and skills in the program or practice (e.g., training, coaching) as well as organization processes (e.g., use of data for decision making, leadership practices).
Initial Implementation Stage	Includes the initial efforts of staff to use the program or practice, with attention to using data for continuous improvement.
Installation Stage	Involves building the infrastructure necessary to implement the practice or program, which includes building practitioner and organizational capacity.
Outcomes	The end results of our implementation efforts defined in relation to improvements for the beneficiaries of the selected programs and/or practices being implemented.



Practice or program	A collection of skills, strategies, and techniques that have been organized to produce a specific outcome or result.
Practitioner	A person engaged in the use of the specific evidence-based practices and/or programs in classrooms and other education settings.
Readiness	"Readiness" is defined as a developmental point at which a person, organization, or system has the capacity <i>and</i> willingness to engage in a particular activity.



Works Cited

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Selected Resources

Several resources were recommended throughout this document to help guide SCs and provide more detail about information contained within the *Title IV-A Implementation Stages Planning Tool*. The following list provides all those resources in one convenient place. SCs may choose to print this sheet as a quick reference guide.

<u>Coaching Supports</u>

This link provides a collection of resources related to coaching supports. Resources include <u>Coaching Effectiveness Data Use - Case Example, Coaching Practice Profile, Look Fors: Targeted</u> <u>Coaching, Continuum of Coach Supports Interactive Lesson, Coaching Behavior Interactive</u> <u>Lesson, Coaching Overview Interactive Lesson, Look Fors: General Coaching, Coaching Action</u> <u>Plan, Drivers Ed: Coaching, Coaching for All, Coaching Service Delivery Plan, Coaching Service</u> <u>Delivery Plan Template, Coaching System Development Worksheet, and Coaching System</u> <u>Development Worksheet Lesson</u>.

<u>Communication Plan Template</u>

The purpose of the communication plan is to identify and authentically engage with an organization's diverse stakeholders. This is a template for organizing a team's plan.

Developing Stakeholder Relationships to Support School Programming

The purpose of this guide on developing stakeholder relationships is to assist SEAs and LEAs in engaging and developing meaningful relationships with a variety of stakeholders and community-based partners. This guide discusses the benefits of engaging stakeholders, provides examples of methods of engagement, and suggests various indicators of successful stakeholder relationships.

Implementation Teams

This module will teach participants the functions and composition of Implementation Teams. Participants will understand the necessity of linking teams, and be able to identify tools and resources available for developing and supporting those teams.

Initiative Inventory

The *Initiative Inventory* can be used to guide a team's review of past and current programs to get a clear picture of successful strategies, and challenges, along with existing mandates and resource commitments. The *Initiative Inventory Process Tool* is available to assist teams in developing a plan for completing the *Initiative Inventory*.

Look Fors: Implementation Team Meeting

This document identifies best practices teams and staff use to facilitate meetings, learning exercises, and coaching sessions. Items can be recorded as observed or not observed during the session with an example of the behavior or permanent product that was observed.



Selecting Evidence-Based Programs and Practices for Title IV, Part A Activities

The purpose of this resource guide on selecting evidence-based programs is to inform SEAs and LEAs of the requirements outlined as part of the Title IV-A statute, and to provide a starting point for identifying and selecting interventions, curricula, and other resources with a credible research base.

• The Hexagon: An Exploration Tool

The Hexagon Tool can be used by communities and organizations to better understand how a new or existing program or practice fits into an implementing site's existing work and context. The Hexagon Tool can be used at any stage of implementation to assess fit and feasibility. It is most used during the Exploration Stage when an implementing site is identifying and selecting new programs and practices to implement.

<u>Title IV, Part A Evaluation Guide</u>

This Evaluation Guide (Guide) is intended to serve as a companion piece to the Title IV-A LEA Needs Assessment Tool (Tool). The Tool prompts LEAs to think first about the desired outcomes, then work backward to identify the programs, projects, or activities (interventions) that will best serve those outcomes under the Title IV-A statute. This Guide offers a high-level overview of the evaluation cycle and can assist LEAs in evaluating whether a selected program is meeting the needs and desired goals identified in the Tool.

<u>Title IV, Part A LEA Needs Assessment Tool</u>

The U.S. Department of Education has developed this comprehensive LEA Needs Assessment Tool, which SEAs can share with LEAs. SCs may opt to adopt the tool for their use, offer the tool as an option for LEAs, or offer an alternative tool or resource. The tool includes outcomefocused indicators. Collecting and analyzing outcome data during a needs assessment can help LEAs identify where their schools are facing challenges and stay focused on those outcomes as they implement their Title IV-A program.

Training and Professional Learning Plans

This link provides a collection of resources related to training and professional learning plans. Resources include <u>District Capacity Assessment</u>, <u>Look Fors: Mini Lesson or Training Event</u>, <u>Training Plan Template</u>, <u>Creating a Training Plan Template</u>, and <u>Developing a Training Plan</u>.

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