**State Infrastructure Analysis Tool – Part C**

Using Implementation Drivers to Tell the Infrastructure Story

This tool was developed by Ron Dughman and Carol Massanari, with input and support from the Mountain Plains Regional Resource Center team. The tool is based on work of the State Implementation and Scaling-up of Evidence-based Practices (SISEP) and the National Implementation Research Network. This tool was developed as part of the mission of the Regional Resource Center Program to support states in meeting OSEP requirements.

**Introduction**

This tool is designed to be used as an aide to states as they consider the requirements for a description and analysis of the states’ infrastructure, under the guidance for Phase I of the State Systemic Improvement Plan related to the new State Performance Plan. The tool is organized around the Implementation Drivers Framework, developed from work by the National Implementation Research Network (NIRN) and the OSEP-funded State Implementation and Scale-up of Evidenced-based Practices (SISEP) Center. Implementation Drivers are key components of capacity and infrastructure that influence a program’s success. They are the core components needed to develop, improve, and sustain the ability of staff to implement an intervention as intended, as well as create an enabling context for the new ways of work. When integrated and used collectively, these drivers ensure high-fidelity and sustainable program implementation.



There are three types of Implementation Drivers:

*Competency Drivers:* Competency drivers are activities to develop, improve, and sustain teachers’ and administrators’ ability to implement an intervention as intended in order to benefit students. Competency drivers include **performance assessment (fidelity), selection, training, and coaching.**

*Organization Drivers:* Organization drivers are used to intentionally develop the supports and infrastructures needed to create hospitable, organizational, and systemic environments for new programs and innovations. These supports may need to be developed across the local programs, regions, and state levels. Organization drivers include data systems to **support decision making, facilitative administration, and systems intervention.**

*Leadership Drivers:* Leadership drivers focus on providing the right leadership strategies for different types of leadership challenges. These leadership challenges often emerge as part of the change management process needed to make decisions, provide guidance, and support organization functioning. Leadership drivers include **technical and adaptive leadership.**

When considered collectively, a series of questions around each component with each driver can help the Lead Agency create a comprehensive “picture” of the current infrastructure system in the state, and provide insight into areas that offer opportunities for improvement. Subsequently, the Lead Agency is well positioned to write a narrative that describes the current infrastructure, as part of the Phase I SPP requirements. In addition, the agency will have information to consider the implications of the infrastructure in Phase II and III development.

**Guidance for Use of the Tool**

It is recommended that the tool be completed by a team comprising the Program/Lead Agency staff and other stakeholders who have pertinent information. It would be helpful for individuals to have the tool beforehand in order to become familiar with the questions. When completing the tool, the group can be divided into smaller working teams, with each smaller team assigned a section of the tool. However, all responses from each small group should be shared and reviewed by the full team. It may not be necessary to respond to each individual question in a given section, but the team should respond to questions as a whole, while using the individual questions, to ensure nothing has been missed. Program/Lead Agency staffs are encouraged to enlist the assistance of the RRC state liaison to help facilitate the process.

**Using the Responses**

* The Lead Agency can use responses, including the identified opportunities, to frame a narrative that describes the system for the purposes of the SSIP infrastructure analysis.
* The Lead Agency has a list of identified opportunities that can be considered for systems improvement related to Phase II.

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| **Common Acronyms found in document** |
| ARP | Annual Performance Report |
| LA | Lead Agency |
| LEA | Local Education Agency (e.g., school district) |
| NIRN | National Implementation Research Network |
| OSEP | Office of Special Education Programs |
| PD | Professional Development |
| SEA | State Education Agency |
| SISEP | State Implementation and Scale-up of Evidence Based Practices Center |
| SPP | State Performance Plan |
| SSIP | State Systemic Implementation Plan |
| TA | Technical Assistance |

 **Template Sections** *(ctrl+click to follow link to section)*

[Performance Assessment](#PreformanceAssessment)
[Selection](#Selection)
[Training (Technical Assistance)](#TrainingTA)
[Coaching](#Coaching)
[Decision Support Data System](#DecisionSupportDataSystem)
[Facilitative Administration](#FacilitativeAdmin)
[Systems Intervention](#SystemsIntervention)
[Leadership](#Leadership)

| **Implementation DriversComponent Questions** | **SSIP Infrastructure Component** |  **What We Know(Strengths)** | **What We May Need to Improve(Opportunities)** |
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| ***Performance Assessment*** *– This driver focuses on the evaluation of implementation, both fidelity and results, as well as the assessment of the competent use of skills required for full and effective use of the intervention or improvement strategy. Evaluation is critical for the ability to know if the desired result is evident or if changes need to be made.* |
| 1. How does the state know that improvement activities are implemented with fidelity and are leading to the desired change?
	1. How does the state determine targets for improvement and select appropriate measures?
	2. How frequently is evaluation data collected and reviewed?
	3. How are data being used to make decisions that can improve fidelity of implementation in improvement activities?
	4. What and how are data given to local programs, regions, and stakeholders as feedback?
	5. How does the state support local programs using performance assessment processes and fidelity data to inform and engage local staff as new skills are implemented and refined?

1. What evaluation mechanisms/systems are in place to ensure your efforts are effective?
	1. Who is responsible for collecting and analyzing evaluation data?
	2. How are evaluation criteria established?
	3. How is evaluation data collected?
	4. How are data used to improve professional development, coaching, or other processes?
	5. How are guidelines, policies, and procedures evaluated to ensure they support improvement efforts?
2. What data and procedures does the state use to ensure the effort is sustainable over time?
3. How is state leadership kept informed about the effectiveness of the overall general supervision system?
 | * Accountability
* Quality

 Standards |  |  |
| ***Selection*** *– Selection refers to having in place clear criteria for making decisions about selecting the improvement strategy, as well as selecting those who will participate in the implementation of the strategy (i.e., staff, local programs, and schools).* |
| Improvement Initiative Selection1. What processes, guidelines, or criteria do you use for selecting improvement initiatives?
2. What processes, guidelines, or criteria do you use when selecting:
	1. Professional development or technical assistance for statewide or regional activities?
	2. Participants to invite to statewide or regional professional development or technical assistance activities?
3. What processes, guidelines, or criteria do you use when selecting evidence-based or successful practices to promote to local programs?
	1. Selecting local programs that have been successful in improving results for children with disabilities and sharing information with other local programs?
	2. Selecting and disseminating evidence-based practices used within the state or in other states?

Stakeholder Selection1. What processes, guidelines, or criteria do you use for the selection of stakeholders from other divisions within the Lead Agency?
2. What processes, guidelines, or criteria do you use for selecting stakeholders outside of the Program/Lead Agency to be included in an improvement initiative?
	1. Organizations
	2. Individuals who might best represent an organization or issue

Participant and Staff Selection1. What processes, guidelines, or criteria do you use when selecting local programs that may be required—or highly encouraged—to participate in improvement initiatives?
	1. How do you engage local programs in data-based decision making?
	2. How do you select the support (PD/TA) for local improvement efforts?
2. What processes, guidelines, or criteria do you use when selecting:
	1. Staff to lead improvement initiatives?
	2. Teams and team members needed to support the implementation of initiatives?
 | * Professional Development
* Technical Assistance
* Governance (to some extent)
* Quality Standards
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| ***Training (Technical Assistance)*** *– Fully developed training and TA is central to successful implementation. It is critical to have a well-defined training/TA plan before initiating the implementation of any improvement strategy.* |
| 1. What is the role of the Lead Agency in professional development for teachers, administrators, families, school boards, etc.?
	1. What part does the state play in the identification, development, and delivery of professional development?
	2. How is the Lead Agency made aware of professional development needs?
2. Who are providers and partners in statewide or regional professional development?
	1. What is the role of IHEs in providing professional development to service providers, service coordinators, and administrators?
	2. What is the role of other early-childhood partner agencies in developing and delivering professional development?
	3. Describe the statewide professional development network.
3. What are the quality indicators for professional development in the state?
	1. Who determines or reviews the quality indicators for professional development?
4. What differentiated levels of PD exist in the state?
	1. Who at the state level is charged with oversight for professional development?
 | * Professional Development
* Technical Assistance
* Quality Standards
 |  |  |
| ***Coaching*** *– While training is critical, research supports that coaching is essential if the training is to be used effectively and if behavior is to change as a result of the training. Coaches provide observation in context, feedback and encouragement to improve competence, and identification of barriers to implementation as intended.* |
| 1. How does your PD and training incorporate a coaching function to provide on-going support and skill development?
2. How is the coaching function clearly defined?
	1. Expected use in practice
	2. Developmental use in practice
	3. Unacceptable use in practice
3. How is the coaching function evaluated?
	1. Quality of standards clearly defined and communicated
4. How is the coaching function resourced?
	1. Determining adequate funding
	2. Identifying funding sources, including leveraging funding across Program/Lead Agency or collaborative partner agency’s initiatives
 | * Professional Development
* Technical Assistance
* Quality Standards
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| ***Decision Support Data System –*** *A data system provides procedures and tools for continuous feedback on the overall performance and status of the implementation process. The system collects data needed to make effective decisions at all levels.* |
| 1. Which of the ten early childhood education fundamentals from the Early Childhood Data Collaborative exist in the state’s data system?

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| **Early Childhood Education Fundamentals**<www.ecedata.org/the-10-ece-fundamentals> |
| 1 | Unique statewide child identifier |
| 2 | Child-level demographic and program participation information |
| 3 | Child-level data on development |
| 4 | Ability to link child-level data with K-12 and other key data systems |
| 5 | Unique program site identifier with the ability to link with children and the ECE workforce |
| 6 | Program site data on the structure, quality and work environment |
| 7 | Unique ECE workforce identifier with ability to link with program sites and children |
| 8 | Individual ECE workforce demographics, including education, and professional development information |
| 9 | State governance body to manage data collection and use |
| 10 | Transparent privacy protection and security practices and policies |

1. How are you assured that the state has the right data necessary to answer all questions asked?
	1. How do you create confidence in the data being collected?
	2. How do you address issues of quality?
	3. What mechanisms do you have in place to gather additional data if needed?
2. How has your agency established clear expectations for effective data use across Lead Agency departments, contractors, or local programs, facilitating coherence and reducing fragmentation in the services and/or supports provided?
	1. In what ways are the state’s data comparable for typical early-childhood programs and the early intervention system?
3. How does your agency analyze key data, such as SPP/APR indicator data and 618 data, to determine areas for improvement?
	1. Who is responsible for collecting and analyzing performance assessment data?
	2. How are data disaggregated -- by locality, race/ethnicity, disability type, age, or other criteria?
4. How do you ensure local programs have access to data they need to engage in continuous improvement, using data-based decision making?
 | * Data Systems
* Accountability
* Technical Assistance
* Quality Standards
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| ***Facilitative Administration*** *– Facilitative administration purposefully ensures the development and implementation of policies and practices that support and reduce barriers to implementation of the desired behaviors defined by the improvement strategy.* |
| 1. How are early childhood initiatives, grants, or statewide activities aligned to improve results for all children, including children with disabilities?
2. What team of people determines needs, and the action needed, to promote system changes?
	1. Who within the team will be responsible for the analysis of guidelines, policies, and procedures that will support outcomes?
	2. What is the state protocol for adding, changing, or modifying state policies and procedures?
3. What outside groups or stakeholders are crucial to policy development in the state? What communication strategies are in place with these groups?
	1. Interagency Coordinating Council
	2. Other early-childhood councils/initiatives
	3. Lead Agency administration
	4. Legislature
	5. Others
4. How does the state provide oversight to ensure that quality standards are met?
	1. Training and technical assistance standards and coaching
5. Who provides oversight?
6. What incentives and sanctions support high quality PD/TA delivery?

Fiscal System1. How are initiatives for improving results funded?
	1. What funding sources are used at the state level?
	2. Is the state accessing all available funding sources (e.g., private insurance, public insurance, local funds, state allocations, and federal allocations)?
	3. How does the state finance improvement initiatives or allocate funds to improvement strategies (e.g., partnering with other early-childhood programs, braiding funding streams, development of fiscal-related interagency agreements, etc.)?
	4. How does the state connect funding to desired results?
	5. What initiatives/projects are supported through these funding streams?
	6. Who administers funding for improvement efforts, including professional development and technical assistance needs/activities?
	7. How does the state ensure funds are used as intended and within the appropriate state or federal fiscal guidelines?
	8. How do you reallocate unexpended funds?

Monitoring System1. How does your monitoring system function?
	1. Monitoring for results
	2. Monitoring for compliance
 | * Accountability
* Governance
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| ***Systems Intervention*** *– Systems intervention addresses issues outside the immediate influence or direct control of the implementation team. This includes issues that impede staff ability to deliver effective programs, practices, or strategies. Such interventions should eliminate or reduce barriers, while enhancing or sustaining policies that facilitate the work. Systems intervention should be designed to create an environment and set of conditions that support the new way of work.* |
| 1. How do you identify barriers that arise as improvement initiatives are implemented?
	1. Who is responsible for identifying or tracking barriers?
	2. What is the feedback loop for communicating barriers as improvement initiatives are being implemented?
2. How do you identify potential solutions to barriers?
	1. How do you identify those who will help develop and/or implement solutions? (i.e., those most impacted who have influence, those who have decision-making authority, etc.)
3. How do you coordinate across the Program/Lead Agency to ensure solutions are aligned and do not contradict other policies or initiatives?
4. What is your process for selecting the most effective solutions?
5. What is your system of sanctions and rewards to support the change?
	1. How do you recognize local programs that are effective in improving results for children with disabilities?
	2. What is your plan when improvement initiatives within local programs are not getting the desired results?
 | * Accountability
* Governance
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| ***Leadership*** *– Leadership is about providing the right strategy for different situations. Some situations require a technical fix that has a relatively clear, defined path to a solution. Other, more complex situations require adaptions or innovative strategies. Active implementation requires leadership approaches that transform systems and create change. Such leadership often involves a combination of both technical and adaptive strategies.*  |
| 1. Is there a clear understanding of who has the authority to make decisions by type?
2. How do your leaders encourage teams/programs to work on solving challenges?
3. How do your leaders encourage the alignment of practices with the overall mission, values, and philosophy of the organization or initiative?
4. How do your leaders work to build consensus when faced with multiple perspectives?
5. How are decisions communicated?
6. How are the issues of those impacted by a decision considered, in order to ensure the solutions will address their needs?
7. How and when are teams used and supported when innovation is required for resolving challenges?
8. How are stakeholders (including families) encouraged and invited to participate
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Now that you have completely reviewed and documented your infrastructure, what does this tell you?

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|  | **Strengths** | **Opportunities (Areas for Improvement)** |
| **Governance** |  |  |
| **Fiscal** |  |  |
| **Quality Standards** |  |  |
| **Professional Development** |  |  |
| **Data** |  |  |
| **Technical Assistance** |  |  |
| **Accountability and Monitoring** |  |  |