

SSIP Phase II Process Guide

The online version of this guide is available at: http://ectacenter.org/topics/ssip/ssip_phase2.asp

The *Part C State Performance Plan (SPP) and Annual Performance Report (APR): Part C Indicator Measurement Table* describes the focus of the SSIP Phase II–Plan as:

“The focus of Phase II is on building state capacity to support Early Intervention Service (EIS) programs and/or EIS providers with the implementation of evidence-based practices (EBPs) that will lead to measurable improvement in the State-identified Measurable Result(s) (SIMR) for infants and toddlers with disabilities and their families.”

The Part C State Performance Plan (SPP) and Annual Performance Report (APR): Part C Indicator Measurement Table (subsequently referred to as the Part C Indicator Measurement Table) defines three components which must be included in the April 2016 submission of the SPP/APR Indicator C-11 and B-17, the State Systemic Improvement Plan (SSIP) including:

1. Infrastructure Development;
2. Support for EIS Programs and/or EIS Provider Implementation of Evidence-Based Practices; and
3. Evaluation

The SSIP Phase II Process Guide describes the steps needed to accomplish the work of the three components of Phase II. Thus, the SSIP Phase II Process Guide is organized according to the following sequential phases of work to be done, rather than by the three components.

1. Kicking off Phase II
2. Developing the improvement plan
3. Developing the evaluation plan
4. Communicating the plan

Throughout The SSIP Phase II Process Guide the term “the plan” refers to the set of activities, steps, and resources described in the Part C Indicator Measurement Table.

The three components are included throughout the sections of the SSIP Phase II Process Guide.

Figure 1: The components included in Phase I and Phase II of the SSIP and the connection between the Phases

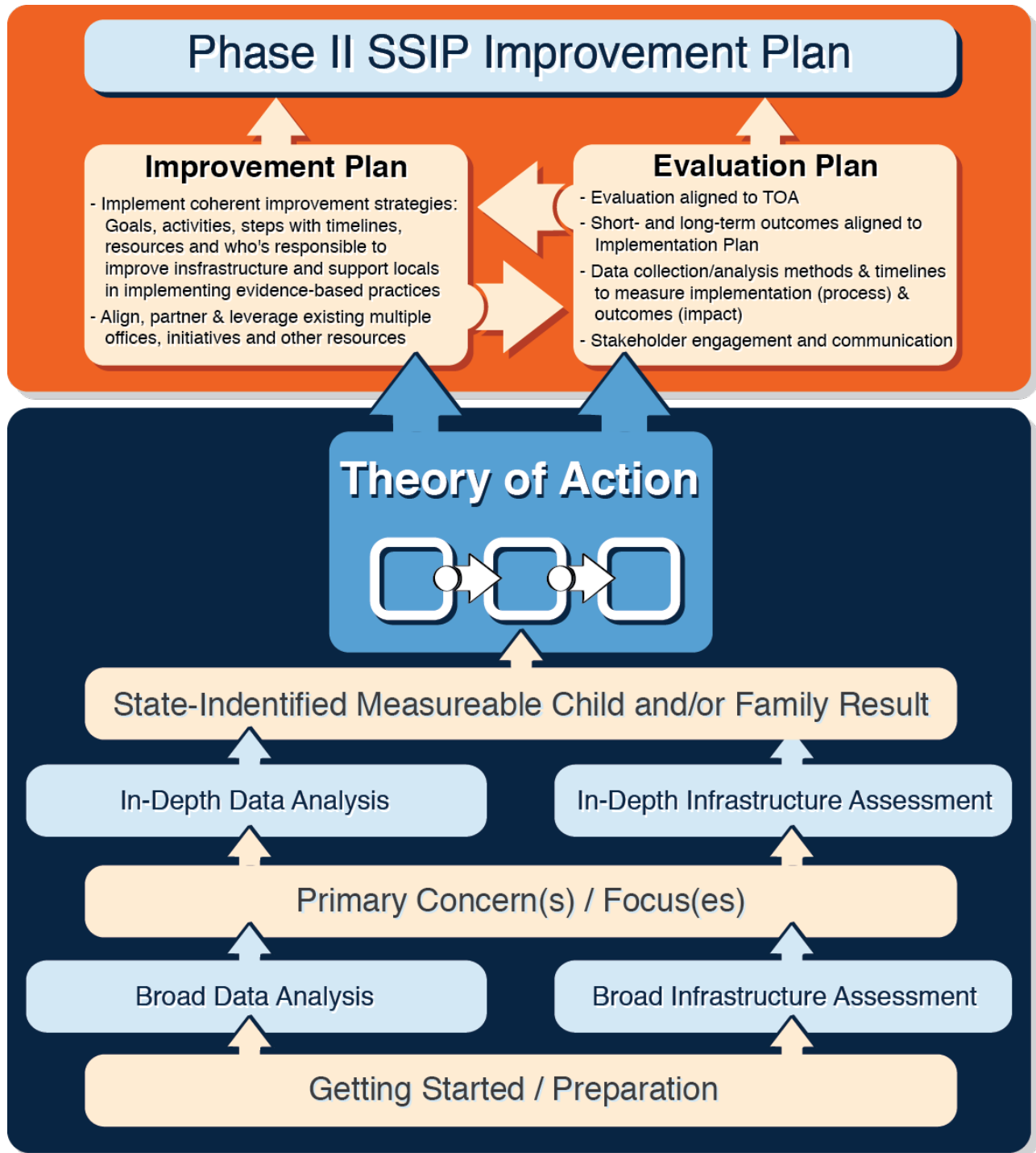


Figure 1 shows the link between Phase I–Analysis and Phase II–Plan and the connections among the components of Phase II. Phase II should be integrally connected to Phase I–Analysis and Phase

III—Implementation and Evaluation. The theory of action (ToA) developed in Phase I will drive Phase II and lay out the work to be completed in Phase III. Many states are taking steps to install some of the system changes, like enhancements to the professional development system, that are most critical to supporting the improvement strategies identified in the SSIP. Although these implementation activities are required under Phase III and not Phase II, beginning to install them early in the process may be critical to meeting future timelines. States also are likely to make changes to the Phase I ToA and improvement strategies, in order to align the work to the most recent knowledge of state strengths, challenges, and capacity, and they will need to document the reasons for these changes. As states begin the installation of activities to improve the infrastructure in Phase II, they should track the activities, including the start date and progress, to ensure that they can accurately report and evaluate all activities they completed under the SSIP.

Timeline for Submission to OSEP

Figure 2 shows the timeline for submission of each Phase of the SSIP to OSEP and provides a brief description of the content included in that Phase.

Figure 2: Timelines and Descriptions of Each Phase of the SSIP, adapted from the Part C Indicator Measurement Table

Year 1 – FFY 2013
Delivered April 2015

Phase I: Analysis

- Data Analysis
- Description of State Infrastructure to Support Improvement and Build Capacity
- State-identified Measureable Result (SIMR)
- Selection of Coherent Improvement Strategies
- Theory of Action

Year 2 - FFY 2014
Due April 2016

Phase II: Plan

- Multi-year plan addressing:
- Phase I Content/Updates
 - Infrastructure Development
 - Support for EIS Program and/or EIS providers in Implementing Evidence-Based Practices
 - Evaluation Plan

Years 3-6 - FFY 2015-18
Due February 2017- 2020

Phase III: Implementation and Evaluation

- Reporting on Progress including:
- Phase I and Phase II Content/Updates
 - Progress toward short- and long-term outcomes
 - Revisions to the SPP and evaluation data to support decision

States will submit Phase II SSIPs through GRADS360 using a process similar to that used for Phase I according to OSEP requirements.

Stakeholder Engagement in Phase II

In the Part C Indicator Measurement Table OSEP stressed the importance of stakeholder engagement throughout the SSIP process. Some considerations related to engaging stakeholders in kicking off the Phase II plan include:

- Reengage stakeholders to the work of Phase II based on the status of Phase I of the SSIP and the purpose of the SSIP.
- Use multiple opportunities and formats (e.g. websites, newsletter, state conferences) to share information about the development of Phase II of the SSIP with stakeholders and create opportunities with stakeholders so they can share information with their communities.
- Consider the "messaging" for the participating local programs. Are the messages co-created? How will the state garner their support? If the state selected subsets of programs having low performance to achieve the SIMR, how will the state garner programs' support without focusing on the negatives that prompted their inclusion in the state's efforts?
- If the state uses planning or implementation teams, engage stakeholders not included on these teams in a discussion about how they would like to get information, provide input into planning, and discuss potential implications for future learning.

What States Need to Submit as a part of SSIP Phase II

Excerpted from: *Part C State Systemic Improvement Plan (SSIP) Phase II OSEP Guidance and Review Tool*.

Updated Data

In its FFY 2014 through FFY 2018 SPPs/APRs, due yearly February 2016 through February 2020, the state must provide updated data for the specific FFY (expressed as percentages) and those data must be aligned with the SIMR(s) for Infants and Toddlers with Disabilities and their Families. In its FFY 2014 through FFY 2018 SPPs/APRs, the state must report on whether or not it met its target.

Part C SPP/APR Collection Tool

Part C Indicator Measurement Table

Components

Phase II Component #1: Infrastructure Development

- 1a) Specify improvements that will be made to the state infrastructure to better support EIS programs and providers to implement and scale up EBPs to improve results for infants and toddlers with disabilities and their families.
- 1b) Identify the steps the state will take to further align and leverage current improvement plans and other early learning initiatives and programs in the state, including Race to the Top-Early Learning Challenge, Home Visiting Program, Early Head Start, and others which impact infants and toddlers with disabilities and their families.
- 1c) Identify who will be in charge of implementing the changes to infrastructure, resources needed, expected outcomes, and timelines for completing improvement efforts.
- 1d) Specify how the state will involve multiple offices within the State Lead Agency, as well as other state agencies and stakeholders in the improvement of its infrastructure.

Phase II Component #2: Support for EIS programs and providers Implementation of Evidence-Based Practices

- 2a)** Specify how the state will support EIS providers in implementing the evidence-based practices that will result in changes in Lead Agency, EIS program, and EIS provider practices to achieve the SIMR(s) for infants and toddlers with disabilities and their families.
- 2b)** Identify steps and specific activities needed to implement the coherent improvement strategies, including communication strategies and stakeholder involvement; how identified barriers will be addressed; who will be in charge of implementing; how the activities will be implemented with fidelity; the resources that will be used to implement them; and timelines for completion.
- 2c)** Specify how the state will involve multiple offices within the Lead Agency (and other state agencies such as the SEA) to support EIS providers in scaling up and sustaining the implementation of the evidence-based practices once they have been implemented with fidelity.

Phase II Component #3: Evaluation

- 3a)** Specify how the evaluation is aligned to the theory of action and other components of the SSIP and the extent to which it includes short-term and long-term objectives to measure implementation of the SSIP and its impact on achieving measurable improvement in SIMR(s) for infants and toddlers with disabilities and their families.
- 3b)** Specify how the evaluation includes stakeholders and how information from the evaluation will be disseminated to stakeholders.
- 3c)** Specify the methods that the state will use to collect and analyze data to evaluate implementation and outcomes of the SSIP and the progress toward achieving intended improvements in the SIMR(s).
- 3d)** Specify how the state will use the evaluation data to examine the effectiveness of the implementation; assess the state's progress toward achieving intended improvements; and to make modifications to the SSIP as necessary.

Phase II Technical Assistance and Support

Describe the support the state needs to develop and implement an effective SSIP.

Kicking Off SSIP Phase II

The first step in getting started on Phase II is identifying who will do the work, what they will do, and when and how they will do the work. Planning up-front facilitates clear communication with state staff and stakeholders about the types of work they will be expected to do and the time commitment they are making. States can choose to complete the work through a number of structures, one of which is to develop or use existing teams to plan and oversee implementation. As teams are created it is important for states to be intentional about how stakeholders are actively involved in the work. If teams are used to complete the work of Phase II, defining the purpose and membership of the team and processes they will follow will make the teams more efficient and avoid miscommunication. Four key concepts from Implementation Science will be integrated into this part of the SSIP Phase II Process Guide including: *State Leadership Team*, *Implementation Team*, *Feedback Loops*, and *Terms of Reference*.

Step 1. Review and address OSEP's recommendations for improving Phase I.

Purpose

- Ensure work is aligned to OSEP's expectations for the state.

Resources

Feedback from OSEP state contact.

Step 2. Identify the activities and timelines described in Phase I that need to be completed during Phase II.

Purpose

- Ensure that sufficient progress is being made on the activities identified in Phase I.

Resources

There are no resources listed for this step.

Step 3. Review the requirements for Phase II.

Purpose

- Align planning and deliverables to the requirements OSEP described.

Resources

Part C Indicator Measurement Table
Part B Indicator Measurement Table
Part C State Systemic Improvement Plan (SSIP)
Phase II OSEP Guidance and Review Tool
Part B State Systemic Improvement Plan (SSIP)
Phase II OSEP Guidance and Review Tool

Step 4. Generate an initial Gantt Chart listing the work to be done in Phase II.

Purpose

- Create a visual of the activities and timelines required to complete Phase II.
- Have a tool to track state progress toward completing Phase II.

Resources

Phase II Gantt Chart Template

Step 5. Identify a staffing structure and those responsible for completing Phase II.

Purpose

- Identify the team or teams that will be responsible for completing Phase II of the SSIP (State Leadership Team, Implementation Teams).
- Complete initial planning of how those teams will coordinate (Linked Teams).
- Identify staff with expertise and interest to support the evaluation design and make sure the team or teams that are completing the planning have access to these staff.

Resources

A Guide to the Implementation Process: Stages, Steps and Activities; Stage 2 Installation
NIRN's AI HUB Module 3: Implementation teams
An Integrated Stage-Based Framework for Implementation of Early Childhood Programs and Systems
Planning Guide to Statewide Implementation, Scale-up, and Sustainability of Recommended Practices
State Leadership Team Benchmarks of Quality

Step 6. Describe the role of stakeholders in Phase II.

Purpose

- Ensure that various viewpoints and expertise will have a role throughout the development of Phase II.
- Identify the people who need to be invited to participate.
- Ensure that stakeholders are involved in creating the activities and undertaking relevant pieces of the plan.

Resources

Leading by Convening

Circles of Involvement

Step 7. If state uses a State Leadership Team and Local Implementation Teams, invite team members to participate in Phase II.

Purpose

- Alert potential team members to the need for a time commitment.
- Establish the group that will need to be moved through orientation to Phase II.

Resources

State Leadership Team Benchmarks of Quality

Step 8. Ensure stakeholders and planning team members have an active role in Phase II.

Purpose

- Increase stakeholder understanding of the findings and conclusions of Phase I.
- Increase the active role of stakeholders for Phase II.
- Increase understanding of the requirements of Phase II.
- Increase focus of stakeholder discussion on the key requirements of Phase II.
- Increase stakeholder engagement in actively planning for Phase II.
- Have an expectation that stakeholders will share these ideas with their networks and bring back relevant ideas.

Resources

Getting Ready for Phase II of the SSIP

SSIP Phase II Tools and Resources

The items below include the resources used in Phase II of the SSIP. The potential uses of each resource are provided.

Kicking off Phase II

A Guide to the Implementation Process: Stages, Steps, and Activities; Stage 2 Installation

This interactive guide on the implementation stages includes information on forming a state leadership team to plan and oversee implementation and scaling up of evidence-based practices. Content is provided on the development of the state leadership teams that links to the activities included in kicking off Phase II.

Retrieved from <http://ectacenter.org/implementprocess/interactive/stage2/intro.asp>

An Integrated Stage-Based Framework for Implementation of Early Childhood Programs and Systems

This brief describes an integrated stage-based framework for implementation of early childhood programs and systems. Pages 5 and 6 include a useful summary of implementation teams. Included in the summary are: a definition of implementation teams, membership of implementation teams, relationships among teams, rationale for using implementation team, and core competencies required of implementation teams.

Retrieved from http://www.acf.hhs.gov/sites/default/files/opre/es_ccepra_stage_based_framework_brief_508.pdf

State Leadership Team Benchmarks of Quality

The State Benchmarks of Quality is can be used by the State Leadership Team (SLT) to assess progress and plan future actions so that Recommended Practices (RPs) are available for providers and families statewide. Sections of this document are particularly useful in considering the structure and staffing of the state leadership team, including on pages 3-4.

Retrieved from http://ectacenter.org/~pdfs/implement_ebp/ECTA_RP_Benchmarks_4-2015.pdf

Circles of Involvement (ToP)

This is an exercise developed to identify key partners for implementing system changes. The version linked here includes instructions for use in a specific public health initiative. The most useful part of the document may be the definition of the Circles of Involvement. Consideration of all of the various types of stakeholders identified in the Circles of Involvement and the benefit they will bring to the implementation of the SSIP can improve the quality of stakeholder involvement. This process links to the Implementation Science recommendation that members of implementation teams should represent different perspectives and range across multiple levels of the system.

Retrieved from http://nnphi.org/CMSuploads/CirclesOfInvolvementExercise_NACCHO_201305.pdf

Developing a High Quality Improvement Plan

This presentation includes information about how VA Part C elicited membership for planning teams, how the team meetings are conducted, and how the teams are coordinated. This can be used as a model for developing a process.

Slides 11–23 are most relevant to staffing for planning.

Retrieved from https://appam.certain.com/accounts/register123/air/events/pdconf/userfiles/0x1255388f65dDeveloping_a_High-Quality_Improv.pptx

Getting Ready for Phase II of the SSIP

This annotated PowerPoint provides an overview of Phase II focused on getting ready for Phase II of the SSIP. States can copy the slides into presentations that they are planning to kick off Phase II.

Retrieved from <http://ectacenter.org/~ppts/calls/2014/ssip/ssip2-1-2014-12-01.pptx>

Leading by Convening

This book provides a framework for transforming the process between the State and the stakeholders for deeper change and sustainability. It includes tools to support various stages of these efforts.

Retrieved from <http://www.ideapartnership.org/building-connections/the-partnership-way.html>

NIRN's AI HUB Module 3: Implementation Teams

This module located on the Active Implementation Hub provides an introduction to implementation teams, including definitions, rationale, key functions, and best practices for establishing and maintaining these teams.

Retrieved from <http://implementation.fpg.unc.edu/module-3>

Part B Indicator Measurement Table

The table describes the requirements for Phase II of the SSIP for Part B.

Retrieved from <https://osep.grads360.org/#communities/pdc/documents/4603>

Part B State Systemic Improvement Plan (SSIP) Phase II OSEP Guidance and Review Tool

The Part B SSIP Phase II OSEP Guidance and Review Tool is based on the three components described in Phase II of the Measurement Table under Indicator 17 (Part B). Those components are 1) Infrastructure Development; 2) Support for LEA Implementation of EBPs; and 3) Evaluation. Phase II builds on the five components developed in Phase I. . Phase II must be submitted by April 1, 2016 as part of the FFY 2014 SPP/APR. The Phase II components are in addition to Phase I content (including any updates).

Retrieved from <https://osep.grads360.org/#communities/pdc/documents/8823>

Part C Indicator Measurement Table

The table describes the requirements for Phase II of the SSIP for Part C.

Retrieved from <https://osep.grads360.org/#communities/pdc/documents/4604>

Part C State Systemic Improvement Plan (SSIP) Phase II OSEP Guidance and Review Tool

The Part C SSIP Phase II OSEP Guidance and Review Tool is based on the three components described in Phase II of the Measurement Table under Indicator 11 (Part C). Those components are 1) Infrastructure Development; 2) Support for EIS Programs and EIS Provider Implementation of EBPs; and 3) Evaluation. Phase II builds on the five components developed in Phase I. Phase II must be submitted by April 1, 2016 with the FFY 2014 SPP/APR. The Phase II components are in addition to Phase I content (including any updates).

Retrieved from <https://osep.grads360.org/#communities/pdc/documents/8824>

Phase II Gantt Chart Template

This is a planning tool to help states lay out the activities and timelines involved in Phase II (developing an action plan and an evaluation plan). The steps in the Gantt Chart are linked to the steps in the Phase II Process Guide.

Retrieved from http://ectacenter.org/~docs/topics/ssip/ssip_phase_ii_gantt_chart.docx

Planning Guide to Statewide Implementation, Scale-up, and Sustainability of Recommended Practices

This guide includes TA process documents and the implementation process, structures, and tools for planning and monitoring implementation used in ECTA Intensive TA for Implementing, Sustaining, & Scaling Up Evidence-Based Practices to Improve Child Outcomes. The section on p. 6 provides an overview of the major structures of the RP2: Reaching Potentials through Recommended Practices Initiatives including:

- State Leadership Team
- Master Cadre of Training and TA providers
- Implementation and Demonstration Sites

Also useful are the sections related to the Planning/Installation Stage embedded under each of the major structures.

Retrieved from http://ectacenter.org/~pdfs/implement_ebp/ECTA_RP_StateGuide_2-2015.pdf

SSIP Phase II: Key Terms

Note: A full glossary of terms from Implementation Science prepared by the ECTA Center is available.

Evidence-Based Practices: "...for the early childhood field: Evidence-based practice is a decision-making process that integrates the best available research evidence with family and professional wisdom and values." (Buysse & Wesley, p.12) and "evidence-based practices can be defined as: Practices that are informed by research, in which the characteristics and consequences of environmental variables are empirically established and the relationship directly informs what a practitioner can do to produce a desired outcome." (Dunst, et al., p.3)

Early Childhood Technical Assistance Center. (2015). *System Framework for Part C & Section 619: Glossary of Terms*. Retrieved from http://ectacenter.org/sysframe/glossary.asp#Evidence-Based_Practices

Buysse, V., & Wesley, P. W. (2006). *Evidence-based practice in the early childhood field*. Washington, DC: ZERO TO THREE. https://secure2.convio.net/zttcfn/site/Ecommerce/193252082?VIEW_PRODUCT=true&product_id=1221&store_id=1461

Dunst, C. J., Trivette, C. M., & Cutspec, P. A. (2007). *Toward an operational definition of evidence-based practice*. (Winterberry Research Perspectives, v.1, n.1). Morganton, NC: Winterberry Press. <http://www.wbpress.com/shop/toward-an-operational-definition-of-evidence-based-practice/>

Feedback Loops: Feedback loops are communication processes used to gain input, analyze data and problem solve during the implementation process. Feedback loops are used among the State Leadership Team, Implementation Teams and Implementation Sites.

Early Childhood Technical Assistance Center. (2014). *Implementation Process: Glossary Terms*. Retrieved from <http://ectacenter.org/implementprocess/glossary.asp#def-feedbackloops>

Implementation Drivers: Implementation drivers are a framework for organizing the capacity and infrastructure that influences the successful implementation of a new innovation or practice. Drivers include capacity for promoting competency through professional development, leadership and organizational supports such as policy and procedures, funding, administration, data systems, etc.

Early Childhood Technical Assistance Center. (2014). *Implementation Process: Glossary Terms*. Retrieved from <http://ectacenter.org/implementprocess/glossary.asp#def-implementationdrivers>

The Phase II plan should include the implementation drivers used to achieve short- and long-term SSIP outcomes. ational Implementation Research Network (NIRN) website provides detailed information about the types and uses of implementation drivers

Implementation Science: The principles of Implementation Science (Fixsen, *et.al.*, 2005) have been embedded into the design of the SSIP process and OSEP expects that states will use the principles in planning and implementing improvement strategies. The definition of the plan for Phase II from the *Part C State Performance Plan (SPP)* and *Annual Performance Report (APR): Part C Indicator Measurement Table* includes that the planning will be developed "with attention to the research on implementation." Throughout this document, we will introduce and embed key concepts of Implementation Science as they relate to the plan to be developed in Phase II. Included in each section are resources for readers to learn more about Implementation Science. Although all implementation frameworks (e.g. implementation teams, usable interventions, implementation stages, implementation drivers, and improvement cycles) need to be considered in Phase II, the implementation drivers are critical to address in the plan.

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).

Implementation Team: Implementation Teams (also called Local Leadership Teams) provide active leadership at the regional or program level to manage the implementation efforts and support the people using the new innovation or practice. The teams engage in continuous communication and feedback with the State Leadership Team about the issues, successes, and needed resources to support successful implementation and expansion.

Early Childhood Technical Assistance Center. (2014). *Implementation Process: Glossary Terms*. Retrieved from <http://ectacenter.org/implementprocess/glossary.asp#def-implementationteam>

State Leadership Team: (also called state management or state implementation team) is the group of individuals at the state level who manage the change effort by actively leading and providing the internal supports needed to move the selected innovation or practice through all the stages and steps of implementation.

Early Childhood Technical Assistance Center. (2014). *Implementation Process: Glossary Terms*. Retrieved from <http://ectacenter.org/implementprocess/glossary.asp#def-stateleadershipteam>

Terms of Reference: Terms of Reference describe a format for setting guidelines and expectations for team function, scope, and mission.

Contributors to this SSIP Phase II: Process Guide

This *SSIP Phase II Process Guide* describes the requirements and a proposed process for developing a high-quality plan, and is intended to support states in designing a high-quality process for completing Phase II. The guide will be updated as content is developed and finalized.

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