



# REGIONAL CAPACITY ASSESSMENT

Version 2.1 - September 2019

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The State Implementation & Scaling-up of Evidence-based Practices Center  
supports education systems in creating implementation capacity for  
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## Introduction and Purpose

The primary purpose of the Regional Capacity Assessment (RCA) is to assist regional education agencies in their efforts to effectively support districts. The *capacity* of a regional education agency (REA) refers to the systems, activities, and resources that are necessary for a REA to be able to facilitate district-level implementation of Effective Innovations.

The specific purposes of the RCA are to:

1. Provide a State Education Agency (SEA) with information to monitor progress towards state, regional, and district capacity building goals
2. Provide a **Regional Education Agency (REA)**<sup>1</sup> with a structured process for the development of a **Regional Capacity Implementation Plan**.
3. Support the development of a **Regional Implementation Team (RIT)** for establishing district implementation capacity to achieve desired outcomes for students
4. Support the development of a **Regional Implementation Team (RIT)** that can provide compensatory support functions to local districts (when the local district has limited resources or size)
5. Provide state and regional leadership with a regular measure of the **capacity** for implementation and sustainment of **Effective Innovations (EIs)** across the state

### Overview of Regional Education Agencies:

A **Regional Education Agency (REA)** functions as a partner with local districts and the State Educational Agency (SEA). REAs provide training, guidance and support intended to enable school districts to operate efficiently and improve their student outcomes. Some examples of the types of services provided by a regional agency may include a combination of instructional supports (e.g., professional development in content and teaching practices, curriculum alignment), coordinating special education programming, instructional technology support services, or assistance with district operating procedures (e.g., payroll services, bus transportation services). REAs vary within and across states in the number of districts they serve and in types of services they provide to districts.

Not all states have REAs. However, to provide the leverage needed to support the use of effective education methods, state education systems need to have a layer of support between the one SEA and the many districts. Regional agencies form **Regional Implementation Teams (RITs)** to develop internal capacity to support districts in selecting and using **Effective Innovations** in sustainable ways such that all students benefit from the innovations (<http://siseptech.fpg.unc.edu/resources/siseptech-brief-5-leveraging-change-state-education-systems>). Some smaller states do not require regional entities and can provide the leverage needed from the SEA (one SEA to a few districts instead of one SEA to many districts). In those states, the RIT functions can be developed in the context of SEA operating units.

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<sup>1</sup> Each word or phrase that is in **bold type** is defined in the Glossary.

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### Schedule and Timeframe of RCA Administration

The RCA is administered two times each year. After the initial baseline assessment, the RCA is re-administered at six-month intervals to refine the Regional Capacity **Implementation Plan**. Subsequent administrations of the RCA are used to monitor progress toward implementation capacity development. After each administration the team reviews previous RCA scores, reviews and updates data sources, and adjusts the Regional Capacity Implementation Plan as necessary. A regional agency may choose to administer the RCA more often during the year to help achieve targeted functions and implementation development purposes.

Given the importance of the process and the complexity of the items, the estimated time to complete the RCA is one to two hours. Exact times will depend on the number of individuals participating, the familiarity of the team with the RCA items and the administration process, and the depth of understanding of current practices in districts in the region. The first use of the RCA typically takes more time than subsequent administrations. Preparing key documents prior to administration of the RCA reduces the time for administration (see the list of documents on the next page).

### Process and Key Roles

The RCA administration process consists of:

1. Introducing the RCA and its purpose
2. Providing an overview of the process for completing the RCA
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. Downloads data documents from sisep.org and sends them to the designated RIT team member no later than 5 business days post administration
8. Summarizes notes and observations and sends them to the designated RIT team member no later than 5 business days post administration. The notes are used to supplement the RCA scores to facilitate **action planning** by the State team

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

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RCA Administrator	A trained individual responsible for leading the discussion and adhering to the RCA Administration Protocol. The RCA Administrator is external to the regional education agency and does not vote.
Facilitator	An individual who has a relationship with the respondents and experience in the regional education agency. The Facilitator supports the RCA Administrator by helping to contextualize items for respondents or provide examples of work in which the regional education agency has engaged. The Facilitator does not vote.
Note Taker	An individual who records ideas shared for action planning and records any questions and issues that are raised during administration. The Note Taker does not vote.
Respondents	Respondents include <b>Regional Implementation Team (RIT)</b> members and other staff intentionally selected for their implementation knowledge, experience with the innovation being used, and leadership in the regional agency. Respondents vote.
Observer	Observers are invited <u>with permission</u> of the RIT to learn about the RCA process and the current implementation capacity development activities in the region, or to assist the RCA Administrator and Facilitator. Observers do not participate in discussions during the administration of the RCA and do not vote.

## Preparation for the RCA and Administration

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

1. The leadership of the regional education agency and the members of the **Regional Implementation Team (RIT)** agree to RCA administration and the commitment of time
2. Materials to be assembled in preparation for RCA administration include:
  - a. Previously completed RCA forms and data or reports from previous RCAs if applicable
  - b. Blank copies of the RCA items (paper or electronic) accessible to all respondents
  - c. Data sources to inform RCA assessment (Regional Capacity **Implementation Plan** needed at a minimum)

## Scoring

During an in-person meeting the RCA Administrator uses the *RCA 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.”

A consensus score is recorded. Consensus means that voters in the minority can live with and support the majority decision on an item. If consensus cannot be reached after the first vote, the Facilitator encourages further discussion of the differences. A second vote is taken and the majority vote is recorded so that the results can be scored and graphed. If the team is unable to arrive at consensus on an item, the **RIT** may want to assure respondents have access to additional data sources prior to the next administration of the RCA.

## Research Basis and Outcomes from the RCA Completion

The research basis of the RCA 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

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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 the use of Implementation Drivers, Improvement Cycles, and Implementation Stages.

The Implementation Drivers assessed by the RCA are:

- **Leadership** - Active involvement in facilitating and sustaining systems change to support the use of **Effective Innovations** through strategic communication, decisions, guidance, and resource allocation; promotes vision, visibility, priority, and policy.
- **Competency** - Strategies to develop, improve, and sustain educators’ ability to use implementation science to support the use of an **Effective Innovation** as intended in order to achieve desired outcomes. Competency Drivers include: **Staff Selection, Training, Coaching, and Fidelity (Performance Assessment)**.
- **Organization** – Changing structures, roles, and processes to more precisely support the use of **Effective Innovations** and to collect, analyze, and use data in ways that result in continuous improvement of systems and supports for educators. Organization Drivers include: **Decision Support Data System, Facilitative Administration, and Systems Intervention**.

The Improvement Cycles assessed by the RCA are based on Plan, Do, Study, Act Cycle (PDSA Cycle) logic that is used to develop and sustain excellence. PDSA Cycles can be used to establish solutions to problems that occur frequently (e.g., lack of scheduling support for coaches to meet as needed with teaching staff) or less often (e.g., insufficient leadership support for using an Effective Innovation in all schools in a district). Improvement Cycles provide a systematic approach to establishing plans and assessing results in complex environments such as schools, districts, regions, and states.

The RCA assesses how **Regional Implementation Teams (RITs)** support districts that are in different stages of implementation. Implementation Stages outline the integrated, non-linear process of deciding to use an **Effective Innovation** and finally having it fully in place to realize the promised outcomes. Stages serve as a guide for the steps implementation teams need to take over time. Active implementation stages are Exploration, Installation, Initial Implementation and Full Implementation.

RCA Items Mapping to Implementation Practices, Drivers, and corresponding subscales:

Implementation Practices and Subscales	RCA Item #:
<b>Leadership</b>	
• Leadership	1, 2, 5, 9
• Action Planning	20, 21, 22
<b>Competency</b>	
• Fidelity - Performance Assessment	8, 17
• Staff Selection	3, 4
• Training	16, 23
• Coaching	13, 14, 24

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<b>Organization</b>	
• <b>Decision Support Data Systems</b>	18, 19
• <b>Facilitative Administration</b>	6, 7, 11, 25, 26
• <b>Systems Intervention</b>	27, 28
<b>Stage-Based Functioning</b>	
• <b>Stage-Based Functioning</b>	10, 12, 15

Intended outcomes from RCA completion:

1. Review and utilize the summary report with (a) Total score, (b) Subscale Scores, and (c) Item Scores to identify areas of strength and need
2. Identify priorities to address within a plan
3. Develop and create a Regional Capacity **Implementation Plan** that defines immediate and short term actions toward improving district capacity to implement Effective Innovations

## **Administration Prerequisites**

SISEP provides training for each RCA Administrator. SISEP also arranges access to sisep.org, a web-based application that allows **Regional Implementation Teams** to complete, store, and view the results of the RCA. Team scores are entered electronically, and reports are generated to view (a) Total Scores, (b) Subscale Scores, and (c) Item Scores. These data are used to assess current implementation supports, monitor progress across time, and plan actions that will improve capacity to implement **Effective Innovations**.

To access SISEP.org, please contact Caryn Ward at the email address below.

<b>SISEP.org User Types</b>	<b>Description</b>
Agency Coordinator	An Agency Coordinator can add and manage users for their organization, administer assessments, edit a submitted assessment, and view assessment reports.
Assessment Administrator	An Assessment Administrator can administer assessments, edit a submitted assessment, and view assessment reports.
Read Only	Read Only access only allows team members to view assessment reports.

We ask that you let us know when you use the RCA. We want to support high fidelity use of the RCA, accumulate RCA data, and make use of your experience and data to improve and expand the assessment. Please respond to Caryn Ward. Thank you.

Caryn Ward, Ph.D.

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## **Version 2.1 of the RCA**

The RCA development team uses an iterative change process based on feedback gathered from users (i.e., usability testing) and research findings to make continuous improvements to the RCA. When an instrument is in its early stages of development and use, the iterative change process occurs annually while the psychometric properties for the measure are being established. Changes to the measure are noted by changing its Version number. Minor refinements to the measure that are unlikely to impact user's scores (i.e., misspellings, clarifications in introductory pages, slight re-wording to the scoring guide) result in a small incremental Version number change (i.e., 1.3 to 1.4). Significant changes to items and the corresponding scoring guide that impact meaning or the scaling structure of the instrument result in a large Version number change (i.e., 1.3 to 2.0). The changes that have been made to the RCA are significant; resulting in Version 2.0. More recent edits correcting minor typos brings this current RCA to Version 2.1.

A summary of the changes made from Version 1.4 to 2.0 and their respective rationales are listed below:

- Sequence change for item addressing the support of the formation of District Implementation Teams (former item # 12, current item #11), and the item addressing engaging in installation stage activities (former item #11, current item #12). For example, formation of implementation teams is an exploration stage activity; thus, this item now comes after the item assessing exploration stage activities and before the item assessing installation stage activities.
- Addition of an item (new item #13) to the coaching subscale regarding the development and use of a coaching system. New item #13 outlines necessary infrastructure supports for the provision of effective coaching practices outlined in a coaching service delivery plan.
- Changes in scoring criteria to enhance scoring specificity were made in items: 2, 4, 6, 8, 11, 17, 24, 27, 28 (former item #s 12, 16, 23, 26, 27)
- To provide increased clarity and further operationalization of the selection practices, significant changes were made in the scoring criteria on the item assessing selection practices of staff (current and former item #3). Also, edits were made to clarify that the selection practices assessed in the item encompasses all staff working within an REA.
- To enhance clarity and further operationalization of necessary stage-based activities, significant changes were made to scoring criteria for items assessing stage based activities of installation and initial implementation (current item #s 12, 15; former item #s 11, 14).
- To provide clarification on the development and use of a process for selecting EIs (#7), REA was specified as being the entity responsible for ensuring that process is used versus a RIT, who may have drafted the EI selection process for REA leadership to approve for use.
- To increase clarity and further operationalization of the necessary components of a coaching service delivery plan and in alignment with the new item assessing the use of a coaching system (new item #13), significant changes were made to the scoring criteria for the item assessing the use of coaching service delivery plan (current item #14, former item #13)
- Significant changes were made to the scoring criteria for the item assessing communication practices (current item #25, former item #24) to include "use" of a communication plan in addition to inclusion of the plan's necessary components.
- Additional examples of potential data sources were added to items: 6, 7, 8 and 16 (former item # 15)

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- To enhance clarity, minor changes in wording of score descriptors of several items were made. Items include: 5, 7, 10, 17, 19, 20, 21, 22, 23, 24, 26, and 28 (former item #s 5, 7, 10, 16, 18, 19, 20, 21, 22, 23, 25, 27).

## RCA Administration Fidelity Checklist

Protocol Steps: To be completed by the RCA Administrator to help assure consistency in the use of the RCA. This information is entered on SISEP.org.	Step Completed?
	Y=Yes; N=No N/A= unsure or not applicable
<b>1. Respondents Invited-</b> RCA Administrator and/or Facilitator invites <b>RIT</b> members and other knowledgeable participants to rate the items (REA leaders, and others)	Y    N    N/A
<b>2. Materials Prepared in Advance-</b> RCA Administrator and/or Facilitator ensures that copies (paper or electronic) of a blank RCA are available for each member and ensures that a room is set up with a device to connect to the internet, a projector, an internet connection, and a conference phone (video if possible) for any participants joining remotely	Y    N    N/A
<b>3. Overview-</b> RCA Administrator provides a review of RCA, purpose, and instructions for voting	Y    N    N/A
<b>4. Administration-</b> Blank RCA is available for entire team to view.	Y    N    N/A
<b>5. Administration-</b> Each question is read aloud. After the RCA Administrator reads a question, the Facilitator says, "ready, set, vote" and all respondents vote simultaneously and publicly (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 not yet" or holds up a card with the number 0, 1, or 2)	Y    N    N/A
<b>6. Administration-</b> RCA Facilitator tallies the votes and notes agreement or discrepancies for each question. The Note Taker records the essence of the issues and discussions.	Y    N    N/A
<b>7. Consensus-</b> If complete agreement is reached, move on to the next question. If not, the RCA 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 majority vote is recorded (further discussion should be scheduled for a time after the RCA is completed). The Note Taker records the issues and any decisions for further meetings and discussions.	Y    N    N/A
<b>8. Recording-</b> RCA Administrator/Facilitator publicly documents each scoring decision	Y    N    N/A
<b>9. Data summary-</b> After the last question has been asked and answered, RCA Administrator/Facilitator or Note Taker generates reports to display graphs and scores	Y    N    N/A
<b>10. Review-</b> While viewing the graphs, RCA Administrator/Facilitator prompts the team in a discussion of the results to identify strengths and opportunities. If a repeated administration, RCA 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
<b>11. Region Status Review-</b> RCA Administrator/Facilitator initiates a discussion of updates on achievements, progress, and major milestones or barriers that have occurred since previous administration	Y    N    N/A
<b>12. Action-</b> RCA Administrator/Facilitator asks respondents to discuss three domains they would like to set as action planning agenda items for their regular meetings	Y    N    N/A
<b>13. Planning-</b> If there is not sufficient time for #11 and #12, the RCA Administrator/Facilitator ensures that a date and time are scheduled for follow-up	Y    N    N/A
<b>14. Conclusion-</b> RCA Administrator/Facilitator thanks the team for their openness and for sharing in the discussion	Y    N    N/A

**Comments/Notes:**

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### Scoring Form

Regional Education Agency:	Date:		
RCA Administrator:	Facilitator:		
RIT Members and other Respondents:			
<b>Directions:</b> The <b>Regional Implementation Team (RIT)</b> and other Respondents complete the Regional Capacity Assessment (RCA) together by using the <i>RCA Scoring Guide</i> 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 <i>RCA Scoring Guide</i> and should be used to help achieve consensus. Scores are recorded on this <i>Scoring Form</i> below and within the Excel Data Capture Form.			
Item	Score		
	Fully in Place (2)	Partially in Place (1)	Not Yet (0)
1. There is a <b>Regional Implementation Team (RIT)</b> to support districts in developing implementation capacity	2	1	0
2. RIT includes an individual with executive leadership authority	2	1	0
3. The <b>Regional Education Agency (REA)</b> uses a process for selecting staff (internal and/or external) who support implementation capacity efforts	2	1	0
4. Regional staff who support implementation have a plan to continuously strengthen skills	2	1	0
5. RIT includes a designated coordinator(s)	2	1	0
6. RIT uses an effective team meeting process	2	1	0
7. REA has a written process for selecting <b>Effective Innovations (EIs)</b>	2	1	0
8. RIT utilizes a process to operationalize EIs	2	1	0
9. REA allocates resources to support the development of district implementation capacity	2	1	0
10. RIT engages in <b>Exploration Stage</b> activities with districts to develop implementation capacity	2	1	0
11. RIT provides support for the composition of <b>District Implementation Teams (DITs)</b>	2	1	0
12. RIT engages in <b>Installation Stage</b> activities with districts to develop implementation capacity	2	1	0
13. REA has a <b>coaching system</b> to support districts in developing implementation capacity	2	1	0
14. RIT uses a <b>coaching service delivery plan</b> to support district implementation teams	2	1	0
15. RIT engages in <b>Initial Implementation Stage</b> activities with districts to develop implementation capacity	2	1	0
16. RIT secures training for district/building staff	2	1	0

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17. RIT supports districts in the use of <b>fidelity</b> measures	2	1	0
18. RIT has access to relevant data	2	1	0
19. RIT has a process for using data for decision making	2	1	0
20. REA has a regional implementation plan for developing regional implementation capacity	2	1	0
21. RIT has an <b>implementation plan</b> for developing district implementation capacity	2	1	0
22. RIT continuously improves the use of implementation plans	2	1	0
23. RIT uses training effectiveness data	2	1	0
24. RIT uses coaching effectiveness data	2	1	0
25. RIT uses a <b>communication plan</b>	2	1	0
26. RIT uses a process for addressing internal barriers	2	1	0
27. RIT uses a process to report <b>policy relevant information</b> to the State Education Agency (SEA)	2	1	0
28. RIT provides stakeholders a status report on capacity development efforts	2	1	0

## Scoring Guide

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
1. There is a <b>Regional Implementation Team (RIT)</b> to support districts in developing implementation capacity	<p>A team is developed and is representative of cross-departmental perspectives (e.g., general education and special education)</p> <p>-AND-</p> <p>Team members are selected for their experiences in:</p> <ul style="list-style-type: none"> <li>• Attempted use of effective innovations</li> <li>• Positive working relationships with district leadership and staff</li> <li>• Sufficient dedicated time to perform RIT functions</li> </ul>	<p>A team is developed and is representative of cross-departmental perspectives (e.g., general education and special education)</p>	<p>There is not a Regional Implementation team (RIT)</p>	List of team members, roles, and job titles RIT appears on organization chart RIT position descriptions

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RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
2. RIT includes an individual with executive leadership authority	<p>RIT membership includes at least one executive leader who can make significant decisions within the <b>Regional Education Agency (REA)</b> to support districts in their implementation capacity efforts (e.g., time, internal structures, funds, personnel) without consulting with a higher authority</p> <p>-AND-</p> <p>Attendance at meetings is regular</p> <p>-AND-</p> <p>When scheduling conflicts occasionally occur, the leader makes sure (s)he is provided with relevant information (e.g., decisions needed and potential barriers that need to be addressed by other REA leaders) within 1-2 days after the meeting</p>	<p>RIT membership includes at least one executive leader who can make significant decisions within the <b>Regional Education Agency (REA)</b> to support districts in their implementation capacity efforts (e.g., time, internal structures, funds, personnel) without consulting with a higher authority</p> <p>-AND-</p> <p>Attendance at meetings is regular</p> <p>-AND-</p> <p>When scheduling conflicts occasionally occur, there is <u>not</u> a mechanism for the leader to be provided with relevant information within 1-2 days after the meeting</p>	<p>There is not an executive leader represented on the RIT</p> <p>-OR-</p> <p>The executive leader's lack of attendance at RIT meetings impedes the team's ability to complete the activities needed to support districts</p>	<p>Executive leader job description</p> <p>List of team members, roles, and job titles</p> <p><b>Communication plan</b> linking REA executive leadership to other departments and structures</p>

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RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
3. The Regional Education Agency (REA) uses a process for selecting staff (internal and/or external) who support implementation capacity efforts	<p>Job descriptions exist that describe pre-requisite knowledge and responsibilities required</p> <p style="text-align: center;">-AND-</p> <p>The selection process includes the following:</p> <ul style="list-style-type: none"> <li>Performance assessment asking individual(s) to demonstrate the required knowledge, skills, and abilities (e.g., simulated activity, role-plays, product development)</li> <li>Feedback provided to individuals for the purpose of assessing the individuals' use of the feedback (e.g., incorporating feedback into subsequent portions of the selection process)</li> </ul> <p style="text-align: center;">-AND-</p> <p>Interview protocol is revised as needed to improve the selection process</p>	<p>Broad job descriptions exist</p> <p style="text-align: center;">-AND-</p> <p>The selection process is aligned to pre-requisite knowledge and responsibilities but does not meet the criteria outlined in the 2-point response</p>	<p>Broad job descriptions exist</p> <p style="text-align: center;">-AND-</p> <p>Generic job interview protocol used during the selection process does not assess pre-requisite knowledge and responsibilities required (e.g., similar protocol for any position)</p>	<p>Job descriptions</p> <p>Interview protocol (including procedures used during the selection process)</p>

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RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
4. Regional staff who support implementation have a plan to continuously strengthen skills	<p>All staff (newly selected and existing regional staff) assigned to develop regional and district implementation capacity have a written professional learning plan that includes:</p> <ul style="list-style-type: none"> <li>• Areas for further development</li> <li>• Type of professional learning that will be provided to develop knowledge, skills and abilities (e.g., attending a professional learning session, independent reading with structured dialogue to reflect on readings)</li> <li>• Timeline for completing the learning</li> <li>• Person(s) assigned to support staff</li> </ul> <p>-AND-</p> <p>Time is allocated for staff to develop knowledge, skills, and abilities that are outlined in the plan</p>	<p>All staff have a written professional learning plan that includes at least 2 of the criteria outlined in the 2-point response</p> <p>-OR-</p> <p>Some staff have a professional learning plan that includes <u>all</u> the criteria outlined in the 2-point response</p>	<p>None of the staff have a written professional learning plan</p> <p>- OR -</p> <p>Written professional learning plans do not meet the criteria outlined in the 2-point response</p>	Staff professional learning plans

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
5. RIT includes a designated coordinator(s)	<p>RIT includes a designated coordinator(s) who performs a lead role on the RIT by:</p> <ul style="list-style-type: none"> <li>• Preparing for and facilitating the RIT meetings</li> <li>• Developing meeting agenda</li> <li>• Monitoring completion of assigned actions and <b>implementation plan</b></li> </ul> <p>- AND -</p> <p>The coordinator(s) obtain direct contact to executive leader(s) on a regular basis (e.g., before and after RIT meetings and meetings with district leaders and District Implementation Team, DITs)</p> <p>-AND-</p> <p>Coordinator(s) uses knowledge about implementation research in order to make recommendations to the RIT and the executive leader overseeing the RIT</p> <p>-AND-</p> <p>Individual(s) providing coordination have adequate time to fulfill responsibilities</p>	<p>RIT includes a designated coordinator(s) who performs a lead role on the RIT by:</p> <ul style="list-style-type: none"> <li>• Preparing for and facilitating the RIT meetings</li> <li>• Developing meeting agenda</li> <li>• Monitoring completion of assigned actions and <b>implementation plan</b></li> </ul> <p>-AND-</p> <p>The coordinator(s) obtain direct contact to executive leader(s) on a regular basis (e.g., before and after RIT meetings and meetings with district leaders and District Implementation Team, DITs)</p>	<p>RIT does not include a designated coordinator</p> <p>-OR-</p> <p>The coordinator(s) does not perform a lead role on the RIT</p> <p>-OR-</p> <p>The coordinator(s) does not obtain direct contact to executive leader(s) on a regular basis (e.g., before and after RIT meetings and meetings with district leaders and District Implementation Team, DITs)</p>	<p>Coordinator job description</p> <p>Identification of who the executive leader(s) are that work with the coordinator</p> <p>Time allocated for the coordinator role</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
6. RIT uses an effective team meeting process	<p>RIT uses the following effective meeting processes:</p> <ul style="list-style-type: none"> <li>• Meets in person at least monthly or more frequently depending on amount of work</li> <li>• Meeting roles and responsibilities are consistently assigned and used (e.g., facilitator, recorder, time keeper, norms monitor)</li> <li>• Process is in place for absent staff to receive updates within 48 hours following the meeting</li> <li>• Completes assignments and documents progress outlined on an action plan within designated timelines</li> </ul>	<p>RIT uses the following effective meeting processes:</p> <ul style="list-style-type: none"> <li>• Meets in person at least monthly or more frequently depending on amount of work</li> <li>• Meeting roles and responsibilities are consistently assigned and used (e.g., facilitator, recorder, time keeper, norms monitor)</li> </ul>	<p>RIT meeting processes do not meet the criteria in the 2 or 1 point responses.</p>	Meeting schedule  Meeting Agendas, Minutes, and Attendance  Action Plan  Documentation of the process for updating absent team members (i.e., Terms of Reference)

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
7. REA has a written process for selecting <b>Effective Innovations (EIs)</b>	<p>Written process is in place</p> <p>-AND-</p> <p>The process to select EIs includes an analysis of the following variables:</p> <ul style="list-style-type: none"> <li>• Need for the EI</li> <li>• Fit and alignment with other EIs</li> <li>• Resources needed to fully implement</li> <li>• Capacity within the regional agency to successfully implement the EI</li> <li>• Evidence to demonstrate effectiveness</li> <li>• <b>EI's readiness for replication</b></li> </ul> <p>-AND-</p> <p>Process is consistently used</p>	<p>Written process is in place</p> <p>-AND-</p> <p>The process to select EIs includes an analysis of the following variables:</p> <ul style="list-style-type: none"> <li>• Need for the EI</li> <li>• Fit and alignment with other EIs/initiatives/programs</li> <li>• Resources needed to fully implement</li> <li>• Capacity within the regional agency to successfully implement the EI</li> </ul> <p>-OR-</p> <p>The process is not consistently used</p>	<p>Written process is not in place</p>	<p>Guidance documents outlining the process</p> <p>Written documentation showing how the selection process has been used within the past 2 years</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
8. RIT uses a process to operationalize EIIs	<p>The process to operationalize EIIs (e.g., Practice Profiles) includes:</p> <ul style="list-style-type: none"> <li>• Clear description of the EI that includes its underlying philosophy and guiding principles</li> <li>• Clear description of the target population</li> <li>• Identification of the critical components</li> <li>• Operational definition of each of the critical components for: <ul style="list-style-type: none"> <li>○ Expected use</li> <li>○ Developmental variations</li> <li>○ Unacceptable variations</li> </ul> </li> </ul> <p>-AND-</p> <p>The process is consistently used either for EIIs that are not already operationalized or EIIs whose components are inadequately operationalized</p>	<p>The process to operationalize EIIs includes:</p> <ul style="list-style-type: none"> <li>• Identification of the critical components</li> <li>• Operational definition of each of the critical components for: <ul style="list-style-type: none"> <li>○ Expected use</li> </ul> </li> </ul> <p>-OR-</p> <p>The process is used inconsistently</p>	<p>There is not a process to operationalize EIIs</p> <p>-OR-</p> <p>The process does not meet the criteria in the 2 or 1-point responses</p>	Documentation of the process (Guidance documents)  Documentation of at least one operationalized EI (e.g., <b>Practice Profile</b> ; Innovation Configuration)
9. REA allocates resources to support the development of district implementation capacity	<p>There is evidence of commitment to support the regional agency's focus on developing district implementation capacity through the allocation and / or re-prioritization of resources (time, personnel, materials, etc.)</p>	<p>There is evidence of effort to secure the commitment to support the regional agency's focus on developing district implementation capacity</p>	<p>There is no evidence of commitment or effort to secure commitment to support the regional entity developing district implementation capacity</p>	General fund budget allocations Grant budget allocations

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
10. RIT engages in <b>Exploration Stage</b> activities with districts to develop implementation capacity	<p><b>Exploration Stage</b> activities with districts include:</p> <ul style="list-style-type: none"> <li>• Meeting(s) with district leadership (executive leaders and administrators) to discuss the benefits of developing district implementation capacity</li> <li>• Decision-making protocol to arrive at a mutual decision whether to proceed with district implementation capacity work</li> <li>• Collection of baseline district capacity data (e.g., DCA)</li> <li>• <b>Action planning</b> based on baseline capacity data that includes next steps to engage in installation stage activities</li> <li>• Readiness activities that will get districts prepared to engage in <b>Installation Stage</b> work</li> </ul>	<p>Exploration Stage activities with districts include:</p> <ul style="list-style-type: none"> <li>• Meeting(s) with district leadership (executive leaders and administrators) to discuss the benefits of developing district implementation capacity</li> <li>• Collection of baseline district capacity data (e.g., DCA)</li> <li>• Action planning based on baseline capacity data</li> </ul>	<p>RIT does not engage in Exploration Stage activities with districts</p> <p>-OR-</p> <p>The Exploration Stage activities with districts only include a meeting with district leadership executive leaders and administrators) to discuss the benefits of developing district implementation capacity</p> <p>-OR-</p> <p>Districts are assigned without the benefit of engaging in Exploration Stage-based activities to arrive at a mutual decision to proceed</p>	Documentation outlining Exploration Stage activities with districts as described in the 2-point response

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
11. RIT provides support for the composition of District Implementation Teams (DITs)	<p>RIT members provide support in the formation of DITs by focusing on the following:</p> <ul style="list-style-type: none"> <li>• Cross-departmental team composition (e.g., general education and special education)</li> <li>• Team size</li> <li>• Selection of the personnel to perform key roles on the team (executive leadership support and coordination)</li> <li>• Experience of team members (e.g., successful use of EIs, positive relationships with staff, adequate time to fulfill responsibilities)</li> </ul> <p>-AND-</p> <p>Selection results for DIT membership are used to strengthen the Installation Stage activities</p>	<p>RIT members provide guidance and ongoing feedback on the DIT composition by focusing on the following:</p> <ul style="list-style-type: none"> <li>• Cross-departmental team composition (e.g., general education and special education)</li> <li>• Team size</li> </ul>	<p>RIT members do not provide guidance and ongoing feedback on the DIT composition in a way that meets the conditions of the 1- or 2-point responses</p>	List of DIT members and job titles  Team selection criteria  Team selection protocols

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
12. RIT engages in <b>Installation Stage</b> activities with districts to develop implementation capacity	<p><b>Installation Stage</b> activities with districts include the following:</p> <ul style="list-style-type: none"> <li>• <b>District Implementation Team</b> (DITs) development (e.g., effective and efficient meeting processes)</li> <li>• EI fluency</li> <li>• Communication protocols to groups / teams</li> <li>• Barrier removal process</li> <li>• Coaching system to select and support coaches to coach the EI concepts / skills</li> <li>• Process to align Els</li> <li>• Process to review, select, and de-select Els</li> <li>• Development of an Implementation Plan</li> </ul> <p style="text-align: center;">- AND -</p> <ul style="list-style-type: none"> <li>• <u>Ongoing</u> professional learning and coaching for the DIT and its members</li> </ul> <p style="text-align: center;">-AND-</p> <ul style="list-style-type: none"> <li>• Co-facilitation of DIT meetings to assist the team in applying their learning to support schools in the effective use of EI components</li> </ul>	<p>Installation Stage activities include <u>at least four</u> of the criteria outlined in the 2-point response</p> <p style="text-align: center;">- AND -</p> <p><u>Ongoing</u> professional learning and coaching for the DIT and its members</p>	<p>RIT does not engage in Installation Stage activities that meet the conditions of the 2- or 1-point response</p>	Documentation outlining Installation Stage based implementation activities and which districts have received those supports

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
13. REA has a <b>coaching system</b> to support districts in developing implementation capacity	<p>The coaching system is developed to ensure districts have equitable access to high-quality coaching to develop implementation capacity</p> <p>-AND-</p> <p>The coaching system includes:</p> <ul style="list-style-type: none"> <li>• Coaching definition</li> <li>• Conditions that warrant coaching</li> <li>• Coach pre-requisite knowledge and responsibilities</li> <li>• Coach selection guidelines (for existing or new staff that will be assigned districts to coach)</li> <li>• Allocation of time for REA staff to provide coaching to DITs</li> <li>• Statement clarifying the coaches' decision-making authority</li> <li>• Coaching service delivery plan</li> <li>• Communication protocol between coaches and other groups / teams internal and external to the REA</li> <li>• Supervision and accountability structures</li> </ul> <p>-AND-</p> <p>The coaching system is consistently used</p>	<p>The coaching system is in the process of being developed to ensure districts have equitable access to high-quality coaching to develop implementation capacity</p> <p>-OR-</p> <p>The coaching system includes at least 6 of the criteria outlined in the 2-point response</p> <p>-OR-</p> <p>The coaching system is inconsistently used</p>	<p>There is not a coaching system</p> <p>-OR-</p> <p>The coaching system does not meet the criteria of the 2- or 1-point response</p> <p>-OR-</p> <p>The coaching system is not used</p>	Coaching system document

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
14. RIT uses a <b>coaching service delivery plan</b> to support district implementation teams	<p>Coaching supports provided to DITs are documented and includes:</p> <ul style="list-style-type: none"> <li>• Stage-based coaching concepts that distinguish supports to districts</li> <li>• Continuum of coaching strategies necessary to develop the team's knowledge, skills, and abilities (e.g., observation, prompting, modeling, assistance in adapting to local context)</li> <li>• Coaching effectiveness measures (district capacity data, observation, products, coaching satisfaction survey data)</li> <li>• Frequency of coaching</li> <li>• Expectations for the coach's preparation</li> <li>• Guidelines for providing feedback (e.g., conceptual feedback components, specific behaviors, timelines for providing written feedback)</li> </ul> <p style="text-align: center;">-AND-</p> <p>Adherence to the coaching service delivery plans is reviewed three times a year</p>	<p>Coaching supports provided to DITs are documented and includes:</p> <ul style="list-style-type: none"> <li>• Stage-based coaching concepts that distinguish supports to districts</li> <li>• Continuum of coaching strategies necessary to develop the team's knowledge, skills, and abilities (e.g., observation, prompting, modeling, assistance in adapting to local context)</li> <li>• Coaching effectiveness measures (district capacity data, products, coaching satisfaction survey data)</li> </ul>	<p>Coaching service delivery plan does not exist</p> <p style="text-align: center;">-OR-</p> <p>Coaching supports provided to DITs do not meet the criteria in the 1-point response</p> <p style="text-align: center;">-OR-</p> <p>The coaching service delivery plan is not being used</p>	Sample of coaching service delivery plans

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
15. RIT engages in <b>Initial Implementation Stage</b> activities with districts to develop implementation capacity	<p><b>Initial Implementation Stage</b> activities with districts include on-going professional learning and coaching in the following:</p> <ul style="list-style-type: none"> <li>• Assistance with exploration activities with buildings</li> <li>• Supports DIT in forming <b>Building Implementation Teams (BITs)</b> (explanation of roles and responsibilities for supporting staff's use of EI; committee / team inventory)</li> <li>• Data and data system support (installation of measures and data systems, initial data collection)</li> <li>• Data analysis and use for both the DIT and BITs to determine the effectiveness of efforts</li> <li>• On-going refinements of district processes and procedures for EI use</li> </ul> <p>-AND-</p> <p>RIT representation meets with the DITs at least monthly during the academic school year</p>	<p>Initial Implementation Stage activities with districts include on-going professional learning and coaching in the following:</p> <ul style="list-style-type: none"> <li>• Supports DIT in forming <b>Building Implementation Teams (BITs)</b> (explanation of roles and responsibilities for supporting staff's use of EI; committee / team inventory)</li> <li>• Data analysis and use for both the DIT and BITs to determine the effectiveness of efforts</li> </ul>	<p>RIT does not engage in Initial Implementation Stage activities that meet the conditions of the 2- or 1-point response</p>	Documentation outlining Initial Implementation Stage activities with districts

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
16. RIT secures training for district staff	<p>Training is prioritized for district staff in:</p> <ul style="list-style-type: none"> <li>• Implementation science practices</li> <li>• EI specific data, systems, and practices</li> </ul> <p>-AND-</p> <p>Highly-competent individuals provide trainings (e.g., trainers who have deep knowledge in the areas they are providing training, effective presentation delivery skills)</p> <p>-AND-</p> <p>Trainings are skill-based, include opportunities for practice/behavioral rehearsals when applicable, and provide feedback to participants</p>	<p>Training is prioritized for district staff in:</p> <ul style="list-style-type: none"> <li>• Implementation science practices</li> <li>• EI specific data, systems, and practices</li> </ul> <p>-AND-</p> <p>Highly-competent individuals provide trainings (e.g., trainers who have deep knowledge in the areas they are providing training, effective presentation delivery skills)</p>	<p>Training is prioritized for district staff in:</p> <ul style="list-style-type: none"> <li>• EI specific data, systems, and practices</li> </ul>	<p>Professional learning: schedule, outlines, agendas, participant materials</p> <p>Professional learning participant evaluations</p> <p>Presenter qualifications</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
17. RIT supports districts in the use of <b>fidelity</b> measures	<p>RIT supports districts in selecting research-validated fidelity measures that are highly correlated with (i.e., predictive of) intended outcomes for EIIs if available</p> <p>-OR-</p> <p>In the absence of available research-validated fidelity measures, the RIT has operationalized the EI</p> <p>-AND-</p> <p>RIT supports districts to develop their capacity to use fidelity measures as recommended (e.g., proactive orientation of staff to the fidelity measure, administration, scoring, data entry, report generation, and analysis)</p>	<p>RIT supports districts in selecting research-validated fidelity measures that are highly correlated with (i.e., predictive of) intended outcomes for EIIs if available</p> <p>-OR-</p> <p>In the absence of available research-validated fidelity measures, the RIT has operationalized the EI (e.g., developed a practice profile)</p>	<p>RIT does not support districts in selecting or using fidelity measures for EIIs</p> <p>-AND-</p> <p>In the absence of the availability of research validated fidelity measures, the RIT does not have a plan to operationalize the EI</p>	<p>Fidelity measure</p> <p>Practice profile or innovation configuration</p> <p>Data (e.g., local or published) demonstrating that fidelity predicts intended outcomes</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
18. RIT has access to relevant data	<p>All of the following relevant data are accessible for the RIT to analyze:</p> <ul style="list-style-type: none"> <li>• Regional capacity data (e.g., RCA)</li> <li>• District capacity data (e.g., DCA, Assessing Drivers Best Practices, DIT Implementation Plan data)</li> <li>• Scale-up data (e.g., Stages of Implementation Analysis: Where are We Now)</li> <li>• EI fidelity data</li> <li>• Student outcome data (e.g., <b>universal screening data, progress monitoring data, and summative assessment data</b>)</li> </ul>	<p>The RIT has access to at least three of the following types of data:</p> <ul style="list-style-type: none"> <li>• Regional capacity data</li> <li>• District capacity data</li> <li>• Scale-up data</li> <li>• EI fidelity data</li> <li>• Student outcome data</li> </ul>	<p>The RIT has access to less than three of the data sources listed in the 2-point response</p>	Sample data reports

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
19. RIT has a process for using data for decision making	<p>RIT uses a problem-solving process (e.g., Improvement Cycles) at least <u>three</u> times a year</p> <p>-AND-</p> <p>The process for using data includes:</p> <ul style="list-style-type: none"> <li>• Analysis of all new data, resulting in a summary of celebrations and precise problem statements</li> <li>• Generation of hypotheses as to the factors contributing to the problem</li> <li>• Analysis of data to validate hypotheses or generate new hypotheses</li> <li>• Refinement of the implementation plan (S.M.A.R.T. goals and activities) to address the problem</li> </ul>	<p>RIT uses a problem-solving process (e.g., Improvement Cycles) at least <u>once</u> a year</p> <p>-AND-</p> <p>The process for using data includes:</p> <ul style="list-style-type: none"> <li>• Analysis of all new data, resulting in a summary of celebrations and precise problem statements</li> </ul>	<p>RIT does not have a problem-solving process</p> <p>-OR-</p> <p>RIT uses a problem-solving process (e.g., Improvement Cycles) that does not meet the conditions of the 2 or 1-point response</p>	<p>Evidence of the problem-solving process</p> <p>Evidence that improvement cycles resulted in refinement of the <b>implementation plan</b></p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
20. REA has an <b>implementation plan</b> for developing regional implementation capacity	<p>The plan's primary purpose is to develop REA implementation capacity</p> <p style="text-align: center;">-AND-</p> <p>The plan has been approved by REA executive leadership</p> <p style="text-align: center;">-AND-</p> <p>Regional capacity data (e.g., RCA) are used to develop and update the plan</p> <p style="text-align: center;">-AND-</p> <p>The plan's goals are <b>S.M.A.R.T.</b></p> <p style="text-align: center;">-AND-</p> <p>The plan includes specific activities to achieve the goals</p>	<p>The plan's primary purpose is to develop REA implementation capacity</p> <p style="text-align: center;">-AND-</p> <p>The plan has been approved by REA executive leadership</p> <p style="text-align: center;">-AND-</p> <p>Regional capacity data (RCA) are used to develop and update the plan</p>	<p>There is not a plan</p> <p style="text-align: center;">-OR-</p> <p>The plan has not been approved by REA executive leadership</p>	<b>REA implementation plan</b>  Record of plan's approval (meeting minutes or other written communication, signature)

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
21. RIT has an <b>implementation plan</b> for developing district implementation capacity	<p>The plan's primary purpose is to assist districts to develop implementation capacity that can be generalized across ELs</p> <p>-AND-</p> <p>The plan has been approved by REA executive leadership</p> <p>-AND-</p> <p>Data are used to develop the plan:</p> <ul style="list-style-type: none"> <li>• District capacity data (e.g., DCA data)</li> <li>• Scale-up data (e.g., each district and school's stage of implementation)</li> <li>• Fidelity data</li> <li>• Student outcome data</li> </ul> <p>-AND-</p> <p>The plan's goals are <b>S.M.A.R.T.</b></p> <p>-AND-</p> <p>The plan includes specific activities to achieve the goals</p>	<p>The plan's primary purpose is to assist districts to develop implementation capacity that can be generalized across ELs</p> <p>-AND-</p> <p>The plan has been approved by REA executive leadership</p> <p>-AND-</p> <p>At least two data sources are used to develop and update the plan</p> <ul style="list-style-type: none"> <li>• District capacity data (e.g., DCA data)</li> <li>• Scale-up data (e.g., each district and school's stage of implementation)</li> <li>• Fidelity data</li> <li>• Student outcome data</li> </ul>	<p>There is not a plan</p> <p>-OR-</p> <p>The plan has not been approved by REA executive leadership</p>	<p>RIT implementation plan</p> <p>Record of plan's approval (meeting minutes or other written communication, signature)</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
22. RIT continuously improves the use of implementation plans	<p>Use of the implementation plans is reviewed a minimum of three times per year</p> <p>-AND-</p> <p>The review includes documentation of:</p> <ul style="list-style-type: none"> <li>• Status of activities (e.g., completed, partial, not-started)</li> <li>• Reasons activities are not completed (e.g., insufficient funding, training)</li> <li>• Team decisions (e.g., provide required resources to complete activities, communicating barriers, next steps)</li> </ul> <p>-AND-</p> <p>Plans are modified when data suggest the need</p>	<p>Use of the implementation plans is reviewed at least two times per year</p> <p>-AND-</p> <p>The review includes documentation of:</p> <ul style="list-style-type: none"> <li>• Status of activities (e.g., completed, partial, not-started)</li> <li>• Reasons activities are not completed (e.g., insufficient funding, training)</li> <li>• Team decisions (e.g., provide required resources to complete activities, communicating barriers, next steps)</li> </ul>	<p>Use of the implementation plans are reviewed once a year or are not reviewed</p>	Documentation of plans use and improvement

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
23. RIT uses training effectiveness data	<p>RIT uses the following types of training effectiveness data:</p> <ul style="list-style-type: none"> <li>• Pre and post assessment of knowledge and skills</li> <li>• Observation of participants practicing and applying newly acquired skills</li> <li>• Trainer performance feedback (e.g., feedback on training content, training process, delivery)</li> </ul> <p>-AND-</p> <p>Training effectiveness data are analyzed to:</p> <ul style="list-style-type: none"> <li>• Inform improvements to the content and delivery</li> <li>• Inform improvements in recruitment and selection, training, coaching, and other implementation supports</li> </ul>	<p>RIT uses two of the following types of training effectiveness data:</p> <ul style="list-style-type: none"> <li>• Pre and post assessment of knowledge and skills</li> <li>• Observation of participants practicing and applying newly acquired skills</li> <li>• Trainer performance feedback</li> </ul> <p>-AND-</p> <p>Training effectiveness data are analyzed to:</p> <ul style="list-style-type: none"> <li>• Inform improvements to the training content and delivery</li> </ul>	Data are not analyzed or used to determine effectiveness of training	<p>Training outcome data</p> <p>Evidence that data are used for improvements</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
24. RIT uses coaching effectiveness data	<p>The effectiveness of RIT coaching DITs is assessed three times a year</p> <p>-AND-</p> <p><u>At least four</u> sources of data are used:</p> <ul style="list-style-type: none"> <li>• District Capacity Assessment (DCA) data</li> <li>• DIT observations</li> <li>• Product reviews</li> <li>• Coaching satisfaction survey results (coaching recipients)</li> <li>• Coaching service delivery adherence data</li> <li>• Coaches' self-reflections using data</li> <li>• Coaching logs</li> <li>• EI Fidelity measure data</li> </ul> <p>-AND-</p> <p>Coaching effectiveness data are used to inform improvements in coaching, recruitment and selection, training, and other implementation supports</p>	<p>The effectiveness of RIT coaching DITs is assessed at least annually</p> <p>-AND-</p> <p>At least two sources of data are used from the 2-point response</p> <p>-AND-</p> <p>Coaching effectiveness data are only used to inform improvements in coaching</p>	<p>The effectiveness of RIT coaching DITS is not assessed and multiple sources of data are not used</p>	<p>Coaching effectiveness data such as staff satisfaction surveys</p> <p>Evidence the data are used to inform improvements</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
25. RIT uses a communication plan	<p>The plan is written and accessible to all regional staff -AND-</p> <p>The plan includes:</p> <ul style="list-style-type: none"> <li>• List of internal and external stakeholder groups (e.g., internal staff represented in the organizational chart, necessary outside agencies, families)</li> <li>• Person(s) responsible for communication with each group</li> <li>• Frequency of communication (e.g., following each monthly team meeting)</li> <li>• Type of information to disseminate and gather identified stakeholders</li> <li>• Methods of communication (e.g., regularly scheduled meeting, email)</li> <li>• Communication effectiveness survey and timelines for gathering communication survey data -AND-</li> </ul> <p>Plan is consistently used - AND - Stakeholders report that communication has been effective</p>	<p>The plan is in the process of being written and accessible to all staff -AND-</p> <p>The plan focuses primarily on:</p> <ul style="list-style-type: none"> <li>• List of internal and external stakeholder groups (e.g., internal staff represented in the organizational chart, outside agencies, families)</li> <li>• Persons responsible for communication with each group</li> <li>• Frequency and methods of communication</li> </ul> <p>- OR -</p> <p>The plan is inconsistently used.</p>	<p>There is not a plan for communication or the plan is not in use -OR- Stakeholders are reporting communication to be ineffective</p>	<p>Communication plan Stakeholder report summaries indicating communication has been effective</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
26. RIT uses a process for addressing internal barriers	<p>A <u>written</u> process is in place outlining the steps needed to identify and address barriers</p> <p>-AND-</p> <p>The process is consistently used to remove internal barriers (e.g., policy and guidance documents are revised to support new ways of work, resources are allocated/re-allocated, competing or ineffective initiatives are modified or removed)</p> <p>-AND-</p> <p>Follow up takes place to determine if the way the barrier was addressed was effective</p>	<p>The process is <u>not written</u></p> <p>-OR-</p> <p>The process is inconsistently used</p>	<p>There is not a process</p> <p>-OR-</p> <p>The process is not used for addressing internal barriers to prevent successful development of implementation capacity</p>	<p>Guidance document outlining process</p> <p>Documentation showing how the process has been used (e.g., examples of identifying a barrier, defining a solution, and implementing the solution with effect)</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
27. RIT uses a process to report <b>policy relevant information</b> to the State Education Agency (SEA)	<p>A written process is in place to gather <b>policy relevant information</b> from districts and schools to help identify:</p> <ul style="list-style-type: none"> <li>• Strengths of the state system</li> <li>• Barriers that need to be resolved at the state level to support regional and district implementation efforts (e.g., state/federal laws, mandated use of funds, interpretation of legislative language)</li> </ul> <p style="text-align: center;">-AND-</p> <p>The process is consistently used by REA staff and district executive leadership for reporting information to the identified contact liaison with the SEA</p>	<p>A written process is in place and is used inconsistently</p>	<p>There is not a written process</p> <p style="text-align: center;">-OR-</p> <p>REA staff and district executive leadership are unaware of how to use the process</p>	<p>Guidance document outlining process</p> <p>Gathering of information from districts and regions</p> <p>Documentation of reporting the gathered information (e.g., reports, meeting minutes, agendas)</p>

## Regional Capacity Assessment

RCA Item	Fully in Place 2 points	Partially in Place 1 point	Not in Place or Not Yet 0 points	Potential Data Source
28. RIT provides stakeholders a status report on capacity development efforts	<p>The RIT identifies stakeholder group(s) to provide a status report            -AND-</p> <p>The report to identified stakeholder groups includes <u>at least 5</u> of the following 7 types of information:</p> <ul style="list-style-type: none"> <li>• Number of districts across the region the RIT is working with to develop implementation capacity (e.g., DITs)</li> <li>• Each district's stage of implementation</li> <li>• Capacity to develop district implementation structures (e.g., REA coaching system to support DITs)</li> <li>• EI Fidelity data</li> <li>• Impact on student outcomes</li> <li>• Stakeholder information (e.g., survey data from staff) about implementation supports</li> <li>• Upcoming work to scale-up implementation capacity and continuous improvement</li> </ul> <p>-AND-</p> <p>Report is disseminated a minimum of twice per year</p>	<p>The RIT identifies stakeholder group(s) to provide a status report            -AND-</p> <p>The report includes <u>at least 4 of the 7</u> different types of information outlined in the 2-point criteria            -OR-</p> <p>The report is only disseminated once per year</p>	<p>A status report is not provided to stakeholders            -OR-</p> <p>Report focuses primarily on action, instead of data</p>	<p>List of stakeholders            Copy of most recent stakeholder status report or presentation</p>

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## 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 - most likely to improve fidelity, sustainability, and student outcomes.

Subscale and Items	Action	Who	When	Next Update
1. Leadership				
2. Action Planning				
3. Fidelity Performance Assessment				
4. Staff Selection				
5. Training				
6. Coaching				
7. Decision Support System				
8. Facilitative Administration				
9. Systems Intervention				
10. Stage-Based Functioning				

## Glossary

Browse the glossary below to learn the vocabulary terms commonly encountered in the RCA. To successfully administer the RCA, 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.

### **Action Planning**

A process of identifying steps or activities that must be performed well to accomplish a strategy. Action planning has five major elements: (1) identifying critical needs and goals; (2) identifying specific tasks and who will do them; (3) establishing the timeframe for when tasks will be accomplished; (4) allocating specific resources needed; and (5) monitoring the action items.

### **Authority**

Authority in the context of the RCA 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**

Regular, job embedded support and feedback designed to help educators use implementation science 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 Plan**

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.

### **Competency**

Develop, improve, and sustain educators' ability to use implementation science in order to achieve desired outcomes.

## *Regional Capacity Assessment*

### **Coordinator**

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

### **Decision Support Data System**

Processes for identifying, collecting, and analyzing data to continuously improve district implementation capacity.

### **Diagnostic Assessment**

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

### **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 Management Team**

Individuals in leadership positions who are responsible for facilitating and sustaining systems change that includes identifying priorities, establishing policies, making decisions, providing guidance, allocating resources, and providing visibility for implementation efforts within the organization

### **Exploration Stage**

Process to determine whether an organization is ready to engage in a change (e.g., implementation of a program, process, new way of doing work). A team in exploration will assess the potential match between the organization's needs, the requirements of the program or practice, and the organization's resources

### **Facilitative Administration**

Active, intentional, and ongoing alignment of internal processes, policies, regulations, and structures to make new ways of work easier and more effective.

### **Fidelity**

Measuring the degree to which educators use implementation science practices as intended.

### **Formal**

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

### **Full Implementation**

Selected programs, processes or new ways of doing work are considered "standard practice" because the new learning is now integrated into staff practices, policies and procedures. Teams in full implementation are routinely using the programs and processes with fidelity and by doing so, are experiencing good outcomes

## *Regional Capacity Assessment*

### **Guidance Documents**

Publicly available documents outlining 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 Plan**

A detailed plan that outlines goals/objectives and strategies/actions needed for effective and sustained implementation and use of an EI.

### **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.

### **Initial Implementation Stage**

People are attempting to use newly learned skills related to the selected program, process or new way of doing work. A team in initial implementation is likely to need significantly more supports from their organization due to the newness of the skills they are beginning to apply to the context of their work. During this stage, awkwardness is associated with trying new things and the difficulties associated with changing old ways of work

### **Installation Stage**

Resources are acquired or repurposed to accomplish the selected program, process or new way of doing work. A team in installation will create the infrastructure and make the changes necessary to initiate the new program, process or practice and use it as intended

### **Interview Protocol**

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

### **Leadership**

Active involvement in facilitating and sustaining systems change to support the use of Effective Innovations through strategic communication, decisions, guidance, resource allocation, and promotes vision, visibility, priority, and policy.

## *Regional Capacity Assessment*

### **Maturity of Effective Innovations**

Innovations whose core features have been clearly defined, operationalized and have been implemented (past and present) with good effect resulting in staff being able to access qualified experts (purveyors) to provide an effective orientation, training supports, coaching and technical assistance to implementers that will result in successful implementation

### **Operationalize**

Clearly defined behaviors an adult will do in such a way that the components are readily teachable, learnable, doable and assessed

### **Organization**

Structures, roles, and processes for communicating clearly, analyzing data, and responding to data in ways that result in continuous improvement of systems and supports for educators to implement Effective Innovations.

### **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.

### **Practice Profile (Innovation Configuration)**

Document that identifies the core components of a program or practice and describes the key activities that are associated with each core component along the continuum of implementation (e.g., expected / proficient, developmental, unacceptable variation). Practice profiles enable a program to be teachable, learnable, and doable.

### **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 Education Agency (REA)**

Public entities that provide educational support programs and services to local schools and school districts (Association of Educational Service Agencies, n.d.)

### **Regional 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.

### **Scale worthy 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.

## *Regional Capacity Assessment*

### **Staff Selection**

Purposeful processes for recruiting, interviewing, and hiring through an *active implementation lens*. This includes identifying skills and abilities that are prerequisites and/or specific to the use of implementation science, as well as characteristics that are difficult to train and coach.

### **S.M.A.R.T. Goal**

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

### **Stage Based Functioning**

Process of matching intensity and types of supports and activities to districts' stage of capacity development.

### **Summative Assessment Data**

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

### **Systems Intervention**

Intentional and ongoing efforts to influence external factors such as policies, environments, systems or structures that interfere with the core functions of districts and schools in the region.

### **Training**

Purposeful, skill-based processes designed to support educators in acquiring the skills and information needed to use implementation science.

### **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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