

PURPOSE

The *Capacity Building Planning Tool* is used to assist a State Leadership Team to develop and implement procedures to: (1) scale-up the adoption extent to which implementation of the practice or program has occurred over time. The tool includes five components for planning, promoting the planning tool are: (1) Leadership Team, (2) Vision, (3) Needs Assessment, (4) Outreach and Training, and (5) Evaluation. The activities in each are done in a sequential fashion.

PLANNING TOOL ORGANIZATION

Each planning tool component includes six stages of implementation based on those identified by the National Implementation Research Network. The stages typically occur in scaling-up an evidence-based practice or a program: (1) Exploration and Adoption, (2) Program Installation, (3) Initial Implementation, (4) Program Expansion, (5) Program Sustainability, and (6) Program Transformation. The planning tool includes indicators for each implementation stage of for each component of the planning tool (Leadership Team, Vision, Needs Assessment, Outreach and Training, and Evaluation) to determine if levels or stages of implementation have been reached. The indicators are used to focus user attention on the key characteristics of each level or stage.

ADMINISTRATION PROCEDURE

The *Capacity Building Planning Tool* is used by a Technical Assistance Liaison together with the members of a Leadership Team to plan, develop, and implement a practice or program. This process is participatory and focuses on supporting and strengthening Leadership Team members' capacity to use the planning tool but not at the direction of the Technical Assistance Liaison. Completion of the planning tool is done as part of a focused and facilitated dialogue. Meetings, discussions and descriptions are used to develop, implement, and revise a plan-of-action to scale up a targeted practice or program.

SCORING PROCEDURE

The aggregate information obtained from the Leadership Team dialogue plus other relevant material or documents (meeting minutes, meeting notes, etc.) which implementation has been achieved in each component of the planning tool. Each component of the planning tool is "scored" by circling the number of times the tool is completed.

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stakeholders (e.g., technical assistance providers, parents, practitioners, advocates) who should be members of the team and who become actively involved members are also discussed and established. The dialogue between the Technical Assistance Liaison and the Leadership Team members helps the team or team will lead the state’s scaling-up initiative and ensure the development and implementation of an effective and efficient scale-up plan.

	Exploration and Adoption	Program Installation	Initial Implementation	Full Operatio
Objectives	To assemble a core team who have access to the resources and authority to make decisions about the adoption and use of the targeted evidence-based practice or program	To determine leadership team member roles and responsibilities for developing a plan-of-action for scaling-up the targeted evidence-based practice or program	To modify and refine team member roles and responsibilities as a result of experiences implementing of the plan-of-action	To use the plan-of-action a continued implementation scaling-up activities and to system for ongoing review of the plan-of-action as ind
Indicators	<ul style="list-style-type: none"> 1... No leadership team members have been identified 2... A list of potential leadership team members has been identified 3... A small group of key personnel but not all stakeholders make-up the leadership team 4... A majority of all key stakeholders have agreed to be members of the leadership team 5... A leadership team has been assembled that includes key stakeholders 	<ul style="list-style-type: none"> 1... No leadership team member roles and responsibilities have been identified 2... Leadership team is in the process of identifying team member roles and responsibilities 3... Team member roles and responsibilities are identified 4... Leadership team has begun developing a plan-of-action for scaling-up the targeted practice or program and how their roles and responsibilities will be defined 5... The process and procedures for implementing the plan-of-action have been developed and roles and responsibilities of team members defined 	<ul style="list-style-type: none"> 1... Leadership team has not reviewed their roles and responsibilities after initial implementation 2... Team members meet to discuss initial implementation but their roles and responsibilities are not examined 3... Team members discuss initial implementation and identify possible areas for change or improvement in their roles and responsibilities 4... Experiences with initial implementation are used to identify additional team member roles and responsibilities or changes in roles and responsibilities 5... Team member roles and responsibilities are routinely reviewed to modify and refine initial scaling-up activities 	<ul style="list-style-type: none"> 1... Plan-of-action is not bei guide full implementati 2... Team members meet to the plan-of-action can l guide full implementati 3... Team members use the action to guide full imp and have begun develo system for systematic r plan-of-action 4... Team members have pu procedures for using, r revising the plan-of-act 5... The plan-of-action and for review and revising routinely used as part c implementation

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program. The process of identifying the vision for a scaling-up initiative includes discussions about: (a) state's vision for implementation, (b) how and why program, and (c) the process for implementing the scaling-up initiative. The vision and agreed-upon process helps the Leadership Team monitor its progress implementing and refining its initiative in a manner consistent with stated intentions.

	Exploration and Adoption	Program Installation	Initial Implementation	Full Operation
Objectives	To engage in dialogue about those elements of a vision that will guide the development and implementation of a plan to scale-up the adoption and use of the targeted practice or program	To develop a comprehensive vision for developing a plan-of-action and how the vision will guide scaling-up the targeted practice or program will occur	To identify how the vision will be used as standards and benchmarks for implementing and evaluating the scaling-up initiative	To embed the vision into all activities related to the scaling up initiative to ensure broad based understanding of the targeted practice or program and intended outcomes
Indicators	<ul style="list-style-type: none"> 1... Leadership team does not engage in any discussions about a vision 2... A vision is discussed but there is no consensus that a vision is needed 3... Leadership team recognizes the need for a vision 4... Leadership team engages in discussions about a vision 5...The key elements of a vision are identified from input from leadership team members and other stakeholders 	<ul style="list-style-type: none"> 1... A process for developing an agreed upon vision has not been started 2... Leadership team agrees about which process will be used to develop a vision 3... Process to develop a vision is implemented with input from team members and other stakeholders 4... Leadership team develops a vision that describes the desired process and outcome of scaling up initiative 5... The vision is widely distributed to interested stakeholders to communicate the process and goals of the scaling up initiative 	<ul style="list-style-type: none"> 1... Leadership team has not discussed how the vision will guide the scaling-up 2... Leadership team has begun discussions about how the vision can be used to guide the scaling-up 3... The ways in which the vision will guide scaling-up are identified 4... Benchmarks are identified for ensuring the scaling-up is consistent with the intent of the vision 5... The vision is routinely used by the leadership team to guide their scaling-up activities 	<ul style="list-style-type: none"> 1... Use of the vision as part of all scaling up activities with stakeholders is discussed 2... Leadership team engages in discussions of how the vision is used to promote stakeholder understanding of the vision 3... A plan is developed to ensure the vision is incorporated into all stakeholders' scaling-up activities 4... The plan is implemented to embed the vision into all scaling up activities 5... The leadership team has a process for ongoing use for reviewing progress toward scaling-up goals

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includes discussions about the needs of the Leadership Team, technical assistance providers and end-users, and determining how existing service delivery scaling-up initiative. The manner in which needs assessment data already collected by a state can be used is also done as part of this component of the ne

	Exploration and Adoption	Program Installation	Initial Implementation	Full Operation
Objectives	To engage leadership team member dialogue among themselves and with other stakeholders to identify the need for the targeted practice or program	To conduct a needs assessment of the leadership team, their programs and organizations, and other stakeholders, to identify the resources needed to develop and implement a scaling-up plan	To determine the readiness of technical assistance providers, end-users, and other stakeholders to commit to the scaling-up process	To put into place the necessary financial, human, and other resources that will promote implementation of the scaling-up process
Indicators	<ol style="list-style-type: none"> 1... No plans to conduct a needs assessment have been discussed 2... Leadership team recognizes the benefits of conducting a needs assessment 3... Leadership team has identified the major elements of a needs assessment 4... A needs assessment tool and procedures have been developed by the leadership team 5... The stakeholders who will be involved in the needs assessment are identified 	<ol style="list-style-type: none"> 1... The needs assessment has not yet been conducted 2... Needs assessment of the leadership team has been initiated 3... Needs assessment of other stakeholders has begun but not yet completed 4... Needs assessment of technical assistance providers and end-users has been initiated 5... Needs assessment of all targeted persons and groups has been completed 	<ol style="list-style-type: none"> 1... No determination of readiness has been made 2... Need for a determination of readiness has been discussed 3... Process and procedure for determining readiness has been developed 4... Process and procedure for determining readiness has been implemented 5... Stakeholder readiness has been determined and the needs of technical assistance providers and end-users have been identified 	<ol style="list-style-type: none"> 1... No necessary resources for the targeted practice or program have yet been committed 2... Leadership team has begun discussions about what resources are needed to scale-up the targeted practice or program 3... The resources needed to scale-up the targeted practice or program have been identified 4... Programs, organizations, and personnel with the authority to commit needed resources have been identified, but some but not all of the resources needed to scale-up the targeted practice or program have been committed 5... All or most of the needed resources have been committed to scale-up of the targeted practice or program

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in which the targeted practice or program are communicated to technical assistance providers and end-users, and the timeline for completing training act recruit, and train technical assistance providers who in turn train end-users (parents and practitioners) to adopt and use the targeted practice or program. coordinated training events (including workshops and follow-up activities) to promote end-users' adoption and use of the targeted practice or program an

	Exploration and Adoption	Program Installation	Initial Implementation	Full Operation
Objectives	To identify existing technical assistance programs and providers that offer training to stakeholders working with the intended beneficiaries of the targeted practice or program	To provide professional development to the state leadership team and other stakeholders to promote their understanding of the key elements of the targeted practice or program	To plan and develop a process and set of procedures for providing training and ongoing supports to those technical assistance staff who will train end-users to use the targeted practice or program	To provide training and ongoing supports to both technical assistance and end-users to promote their understanding, adoption, and use of the targeted practice or program
Indicators	<p>1... Neither the leadership team members nor technical assistance providers to receive training have been identified</p> <p>2... Leadership team has initiated a process of identifying team members and technical assistance providers to receive training</p> <p>3... A list of leadership team members and technical assistance providers to receive training has been compiled</p> <p>4... Leadership team has engaged in discussions about the content and format of the training</p> <p>5... The training content and format has been determined</p>	<p>1... No plans to provide training to the leadership team have been made</p> <p>2... Leadership team has begun making a plan for their training on the targeted practice or program</p> <p>3... Initial training is planned and other stakeholders are identified to participate in the training</p> <p>4... Training is provided and leadership team and other stakeholders identify additional training to fully understand the targeted practice or program</p> <p>5... A process and plan is put-into-place to involve the leadership team in periodic ongoing training on the targeted practice or program</p>	<p>1... No plans to provide training to the technical assistance providers have been made</p> <p>2... Leadership team and other stakeholders engage in conversations about the technical assistance provider training</p> <p>3... A plan is developed to provide training to the technical assistance providers</p> <p>4... Training is provided to an initial (first generation) group of technical assistance providers</p> <p>5... Ongoing support and training is provided to this initial group of technical assistance providers</p>	<p>1... No plans to provide training to the end-users have been developed</p> <p>2... The process of developing and training end-users has begun</p> <p>3... A plan to provide training to end-users has been developed</p> <p>4... End-users are provided training on the use of the targeted practice or program</p> <p>5... Ongoing support and training is provided to end-users</p>

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providers to be adequately trained in the use of the targeted practice or program so that they can in turn train end-users (practitioners, parents, etc.).

	Exploration and Adoption	Program Installation	Initial Implementation	Full Operation
Objectives	To identify the key components of how the leadership team will evaluate the effects of their efforts to scale-up the targeted practice or program	To implement the components of the evaluation plan that focuses on leadership team roles and responsibilities	To implement the components of the evaluation plan that focuses on training the technical assistance providers	To implement the components of the evaluation plan that focuses on training the end-users
Indicators	<p>1... No plans have been made to identify the elements of an evaluation plan</p> <p>2... Leadership team and other stakeholders begin discussions about an evaluation plan</p> <p>3... The components of the evaluation plan are identified</p> <p>4... An evaluation plan is developed for the leadership team to use to evaluate their efforts to scale-up the targeted practice or program</p> <p>5... Existing and newly needed data are identified for conducting the evaluation</p>	<p>1... No part of the evaluation plan pertaining to the leadership team has been implemented</p> <p>2... Evaluation plan has been implemented but no data collected on the leadership team's efforts</p> <p>3... Evaluation data has been collected but not yet examined to assess effectiveness of the leadership team's efforts</p> <p>4... Evaluation data is used to identify what is and is not working and what changes are indicated in the roles and responsibilities, and efforts of the leadership team</p> <p>5... Changes in leadership team roles and responsibilities are made based on the evaluation results</p>	<p>1... No part of the evaluation plan pertaining to the technical assistance providers has been implemented</p> <p>2... Evaluation plan has been implemented but no data collected on the effectiveness of the training provided to the technical assistance providers</p> <p>3... Evaluation data has been collected but not yet examined to assess effectiveness provided to the technical assistance providers</p> <p>4... Evaluation data is used to identify what is and is not working and what changes are indicated in the training provided to the technical assistance providers</p> <p>5... Changes in the training provided to technical assistance providers are made based on the evaluation results</p>	<p>1... No part of the evaluation plan related to training the end-users has been implemented</p> <p>2... Evaluation plan has been implemented but no data collected on the effectiveness of the training provided to the end-users</p> <p>3... Evaluation data has been collected but not yet examined to assess effectiveness of the training provided to the end-users</p> <p>4... Evaluation data is used to identify what is and is not working and what changes are indicated in the training provided to the end-users</p> <p>5... Changes in the training provided to end-users are made based on the evaluation results</p>

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