POST HOC STUDY OF A STATE SELECTION PROCESS TO PREDICT STATE
READINESS TO PARTICIPATE IN SCHOOLWIDE INCLUSIVE SCHOOL REFORM

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By

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ABSTRACT

This qualitative single case study explored the relationship between what was predicted and progress of states selected to participate with a national center, 10 months post state selection, to determine if use of the process developed by the national center for selecting state partners was predictive of state readiness to participate in schoolwide inclusive school reform, and to assess utility of the process for use by other national centers. The state selection process used by the national center extended current use of the Hexagon Tool's broad factors from assessing readiness to implement evidence-based practices/innovations to assessing state readiness for change. The methodology included use of structured interviews. This study contributes to the field by supporting utility of a selection process to assess state readiness to partner with a national center to implement schoolwide inclusive school reform.

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CHAPTER I—INTRODUCTION AND REVIEW OF THE LITERATURE

Background

In recent years, the U.S. Department of Education (USDE) has increased support for

development of national technical assistance and dissemination (TA&D) centers to bring

innovative evidence-based practices to the field. Currently, over 40 national TA&D centers exist

across the U.S. (National Dissemination Center for Children with Disabilities, 2014). These

national centers have been created to support implementation and scaling-up of evidence-based

practices through intensive technical assistance. The centers address such educational areas as

early childhood, technology, professional and personnel development, secondary and

postsecondary education, leadership, dissemination, dispute resolution, deaf-blind, behavior,

instruction, and inclusive schoolwide reform (National Dissemination Center for Children with

Disabilities, 2014). For some centers, selection of state partners can be one of their most

important and pressing tasks because there is likely a limit on the number of state partners a

center can engage, and this limit may pose challenges when the number of states seeking to work

with a center exceeds the center's capacity. As a result, many national centers need a systematic,

equitable process for selecting state partners that includes exploring "readiness for change" prior

to making decisions regarding implementation of an innovation. With such a process, national

centers will have the capability to systematically assess state readiness to participate as part of

their decision-making process regarding partnerships for implementation of evidence-based

innovations.

"Readiness for change" has received little notice in implementation literature. To date,

literature about implementation has been primarily focused on actual implementation and

evaluation of implementation (Metz & Bartley, 2012). However, in recent years, use of active

implementation frameworks to guide implementation of evidence-based practices has increased

(Metz, 2013). With this, readiness for change has emerged as "a critical component of both

initiating and scaling up the use of evidence-based practices and other innovations in education"

(Fixsen, Blase, Horner, Sims, & Sugai, 2013, p.1) and at all levels (Blase, 2009; Meyers, Durlak,

& Wandersman, 2012).

Readiness for change is defined as "a developmental point at which a person,

organization, or system has the capacity and willingness to engage in a particular activity"

(Fixsen, Blase, Horner et al., 2013). It is recognized that proceeding with implementation of an

innovation without being ready to do so results in attempts that often fail or fall short of their

expected outcome (Blase, Van Dyke, Fixsen, & Wallace Bailey, 2012; Fixsen, Blase, Horner et

al., 2013).

Through the work of the National Implementation Research Network (NIRN), a tool was

developed to assist organizations in the process of evaluating evidence-based programs and

practices during exploration. The Hexagon Tool (Blase, Kizer, & Van Dyke, 2009, 2013)

(Appendix A) is used by states, districts and schools to promote discussion during evaluation of

new and existing interventions prior to implementation (Blase et al., 2009, 2013). The Hexagon

Tool has six broad factors to consider when doing early stage exploration of evidence-based

practices/innovation. Factors include: needs, fit, resource availability, evidence, readiness for

replication, and capacity to implement (Blase et al., 2013). The Hexagon Tool is situated in the

exploration stage of implementation and is used primarily at the organization or system level

(Fixsen, Naoom, Blase, Friedman, & Wallace, 2005).

Use of the Hexagon Tool has not been extended to include use by a national purveyor to

predict state readiness for implementation of evidence-based practices or innovations as part of a

state selection process (K. Blase, personal communication, January 11, 2014). The state selection process used by the National Center for Schoolwide Inclusive School Reform (SWIFT Center) extended current use of the Hexagon Tool by using the tool's broad factors to form, in part, their predictions about state readiness to partner with them to implement schoolwide inclusive school reform. In this qualitative post hoc study, state progress 10 months post selection was used to (a) support use of broad factors of the Hexagon Tool to predict readiness to partner with a national center as part of a state selection process, and (b) explore utility of the process for use with other national centers.

Statement of the Problem

At the national level, funding has increased from the USDE for development of national centers, designed to assist states, districts and schools with implementation, capacity building, and scale up of evidence based practices and/or innovations. However, determining state readiness for change prior to selection of state partners has not been part of this process. Thus, a state selection process that includes a way to predict state readiness for change prior to selection is needed so investment can be placed where the probability of success is high. If it is possible to point to systems that change effectively, these systems can become role models to increase the probability of successful models for other states to follow (E. Kozleski, personal communication, October 31, 2014).

The State Implementation and Scaling Up of Evidence-based Practices (SISEP) Center began its work in 2008 with the purpose of developing implementation capacity so states could effectively implement evidence-based programs and innovations in schools statewide. Fixsen, Blase, Horner et al. (2013) shared that the SISEP Center began exploration work and their selection process by emailing key stakeholders and inviting them to participate in conference

calls about scaling interventions and systems change in education. They conducted two conference calls with interested states. The first call provided general information about the work of the newly funded SISEP Center; the second call focused on difficulties and challenges that could arise during the process of building capacity for change, and how this Center would assist in the process. Interested state education leaders were asked to submit a request for participation responding to selection criteria. Fixsen and colleagues (2013) received applications from 16 states, which resulted in a review and rating process. Visits were scheduled to the highest scoring eight states. Of the eight states they visited, one state withdrew, and one did not convene a stakeholder group, which was a requirement for consideration. The six remaining states met SISEP criteria for selection. All six states were selected for participation (Fixsen, Blase, Horner, Sims et al., 2013). Thus, any process requiring further elimination of states was unnecessary.

SWIFT Center State Selection Process

The SWIFT Center (Center) conducted a state selection process similar to the process conducted by the SISEP Center, but with a significant difference. The SWIFT Center had the capacity to serve 16 school districts spread across at least four states, and had to develop a process to assess state readiness for the 10 states that had initially expressed interest in partnering with the Center. The SWIFT Center, funded by the USDE Office of Special Education Programs in 2012 to bring together general and special education, is tasked with providing academic and behavioral support in inclusive settings for all students, including those with the most extensive needs, and is responsible for providing intensive technical assistance to at least 64 schools across the five selected states over the period fall 2013 to fall 2017 (Mitchiner, McCart, Kozleski, Sweeney, & Sailor, 2014). To accomplish this goal, it was essential that the Center undertake a

rigorous process for selecting states they would serve. Further, it was important that a pre-

selection process be created to determine readiness among the states that applied to partner with

SWIFT Center. This process needed to take into consideration alignment with SWIFT Center

desired outcomes. To this end, a systematic process for state selection was created that included

development of a state selection procedural manual; a process for data collection, analysis and

dissemination of state data for consideration; and organization and facilitation of the decision-

making process for determining the final states to be selected to receive intensive technical

assistance. Broad factors of the Hexagon Tool were used throughout the SWIFT Center state

selection process to analyze state data collected and summarized via documentation and

interviews. The process for selecting states included seven stages: (a) pre-stage one: invitation;

(b) stage one: determining interest; (c) stage two: expanded interest inventory; (d) stage three:

state visit; (e) stage four: detailed data collection; (f) stage five: determination of fit; and (g)

stage six: decision-making process. Figure 1 summarizes the stages and provides a timeline for

the SWIFT Center state selection process.

SWIFT Center State Selection Process

Timeline   Activity

October 2012 — Funding Awarded for National Technical Assistance Center for Schoolwide Inclusive School Reform, the SWIFT Center

November 2012 — SWIFT Center State Selection Process:
- Pre-stage one: Invitation
- Stage one: Determining Interest
- Stage two: Expanded Interest Inventory
- Stage three: State Selection Team Visits
- Stage four: Data Collection & Review
- Stage five: Determination of Fit

Ten states participate in selection process

May 2013 —
- Stage six: Decision-making Call
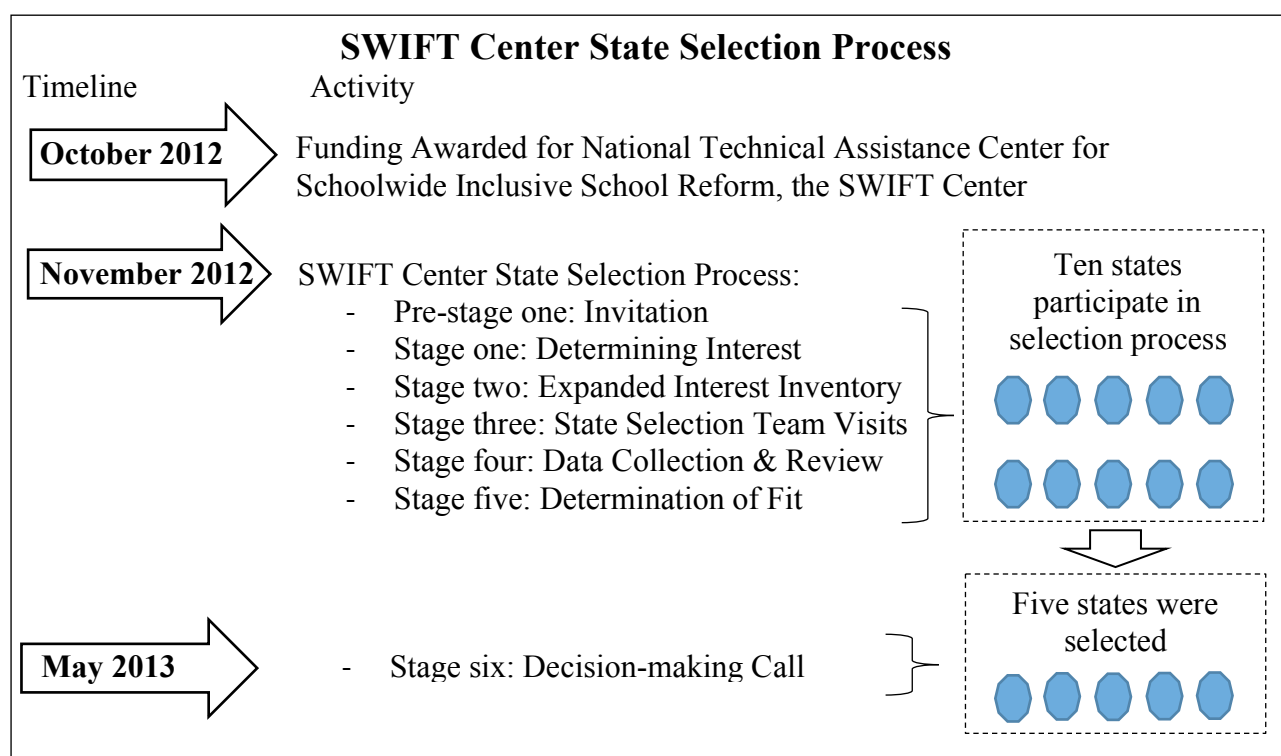
Five states were selected

Figure 1. Timeline for SWIFT Center State Selection Process

Pre-stage one: Invitation. In this preliminary stage, an invitation was extended to all states indicating interest, encouraging them to contact the SWIFT director for information about the Center. Representatives from two national education organizations, the National Association of State Directors of Special Education (NASDSE) and the Council of Chief State School Officers (CCSSO), provided letters to their constituents informing them of the newly funded Center and encouraging them to seek additional information about applying to participate in the selection process. Additionally, institutions of higher education (IHEs) were provided information and the opportunity to partner with their states in the process, and national organizations including family groups and other federal projects funded through the Office of Special Education Programs (OSEP) were notified and offered opportunities to partner with the Center.

Stage one: Determining interest. In this stage, State Education Agency (SEA) personnel initiated contact with the SWIFT director to express interest in partnering with the Center. After conversation, if a state desired to proceed to the next step in the process, an introductory letter and introductory materials were sent to the SEA. These SEAs were asked to review materials and communicate back to the Center director when and if they were interested in proceeding to the next stage in the selection process.

Stage two: Expanded interest inventory. In stage two, a telephone interview was conducted between the SEA contact and SWIFT director to determine level of state interest and commitment to partnering with the Center. Following the interview, and if there was sufficient

interest to proceed, pre-selection meeting questions were sent to the SEA contact to familiarize

them with the types of information the state selection team would require during their state visit.

Stage three: State selection team visit. In stage three, the Center's state selection team

members (described later) visited prospective states and shared the vision and critical features of

the Center's process. This activity was done to inspire prospective local educational agencies

(LEAs) to collaborate with the Center and with the SEA to assist schools with the

implementation of schoolwide inclusive school reform; to assist SEAs in developing capacity

over time to scale up best practices to other districts across the state; and to assist participating

LEAs to have the capacity over time to sustain transformational processes in participating

schools and to scale up best practices to additional schools within each district.

To prepare for the state visit, the SEA was asked to have in attendance at the state

meeting at least four LEA teams made up of at least general education and special education

leaders, and any others they would choose to add. During each state visit, state selection team

members endeavored to get a clear picture of how the effort to accomplish equity and excellence

in the education of all students was approached by prospective LEAs. State selection team

members also gauged the degree to which each LEA presented the potential to partner

collaboratively in the transformation process. A guidance document titled the *State Selection*

Visit Procedural Guidelines was developed as a reference for state selection team members to

use during their visits.

Stage four: Detailed data collection for decision making. To complete the decision-

making process, a rigorous and comprehensive method of data collection was designed to answer

questions posed in stages five and six of the state selection process. Numerous data sources were

used to create a portfolio for each state. This information was provided to team members prior to

the state selection conference call. Portfolios of state level information included the following: a

summary of each state's statistics regarding special education participation, demographics for

students in general and special education, and student academic achievement; overall SEA

readiness survey results; summary of state waiver information; summary sheet of documents

states provided during the pre-selection process; overall summary of open grants; individual state

rankings by category, which were based on SEA and LEA information gathered by the state

selection teams during state visits; and overall rankings for states. A state profile was also

created for each state. Individual state profiles included information that was provided to team

members prior to the state selection decision-making call. Individual state profile data included

the following: state visit meeting agenda; a summary of meeting attendees; completed individual

state readiness survey; individual state waiver summary or request; condensed summary of open

grants; completed State Personnel Development Grant Project Officer interviews; individual

state contact follow up interview; and letter(s) of commitment or confirmation.

Team membership consisted of multiple stakeholders, totaling 12 members, and included

the following: two proxies from the Center's Advisory Group, Project Officers from the Office

of Special Education Programs, members of the Center's National Leadership Consortium, and

members of the Center's leadership team. A six-hour time block was scheduled for the state

selection conference call. All data were provided beforehand via email and a secure online

document storage system for state selection team members to review.

Stage five: Determination of fit. Prior to the call, state selection team members were

asked to consider degree of fit between each prospective state and the SWIFT Center. To

facilitate this process, members of the Center's state selection team analyzed previously

described data using the following questions: (a) How does the SWIFT framework "fit" with

other existing initiatives in the state? (b) Are implementation and outcomes likely to be enhanced or diminished as a result of interactions with other relevant interventions? (c) How does the SWIFT framework fit with current priorities of the SEA, LEA, or schools? (d) How does it fit with current SEA, LEA, or regional organizational structures? and (e) How does it fit with community values, including the values of diverse cultural groups?

Stage six: Decision making. During decision making, questions related to "fit," which the team contemplated in stage five, were further considered. In addition, other factors of the Hexagon Tool (Blase et al., 2009, 2013) were considered as part of the decision-making process and included: (a) extent of need at multiple levels in each state; (b) how state needs fit within the scope of work of the Center; (c) extent and availability of resources; (d) evidence indicating outcomes that might be expected if the SWIFT framework is implemented in the state; (e) readiness for replication, including past replications accomplished; and (f) capacity to implement as intended and to sustain and improve implementation over time.

The agenda for the state selection call included four parts: (a) review of data; (b) discussion of each state; (c) considerations for states selected; and (d) decision making. The call started with a review of data collected for each state as well as rationale for how state rankings occurred. Next, the team discussed each individual state for up to 20 minutes. Following discussion of each state, the team considered such issues as regionalization of technical assistance to states, degree of need within each of the states for intensive technical assistance in schoolwide inclusive school reform, availability of resources to contribute to the transformation process at the LEA and SEA level, structures in place within each state for scaling up the SWIFT framework, and each state's capacity to be a good partner. Some experienced state selection team members strongly advocated for including particular states

based on their past experiences, but did not prevail, which indicated the process for state

selection was not only rigorous, it was fair. Once discussion concluded, an anonymous survey

link was sent to each team member so they could rank order the states. A rank of "1" indicated

their first choice and a "10" indicated their last choice for partnering with the Center to

implement inclusive educational practices. Eleven of 12 state selection team members ranked

states. Results were shared with the larger group. Additional discussion ensued until the call

concluded with consensus by team members on the final selection of states to become partners

with the SWIFT Center.

Logic Model for Study

The process used by both the SISEP and SWIFT Centers for state selection shared

multiple similarities. For example, both Centers began exploration work by communicating with

key stakeholders and state leaders, inviting them to learn more about the innovations. Both

Centers gathered data during the exploration process that aided in selection. Both Centers

conducted visits that included interviews with key leadership and stakeholders. Discussions

regarding readiness of states followed visits for both Centers. However, one distinct difference

existed. The SISEP Center was able to accept all qualified states as partners following their

initial screening process, which was not the case for the SWIFT Center. The number of states

interested in partnering with the Center exceeded their capacity to support. Thus, it was

imperative the SWIFT Center develop a process for state selection that included determining

individual state readiness for change.

It is expected that, if readiness for change was indicated at the time of selection, states

would show progress related to factors indicating readiness (i.e., identification of need,

availability of resources, capacity to implement). However, if the state selection process did not

result in identification of factors related to state readiness for change and was not supported,

states would not make progress related to broad factors. In case study research, the degree of

certainty or consensus is less because there is a "lesser degree of plausibility-reduction of rival

hypotheses," which reduces the ability to replicate the study "at will" (Campbell, as cited in Yin,

2009, p. viii). However, singular event case studies "should be used to their fullest" (Campbell,

as cited in Yin, 2009, p. viii).

       To investigate the utility of the state selection process used by the SWIFT Center, a

qualitative post hoc study was conducted 10 months post state selection using structured

interviews with key individuals from the five selected states to determine post selection progress

related to readiness indicators identified during state selection. See Figure 2 for a graphic

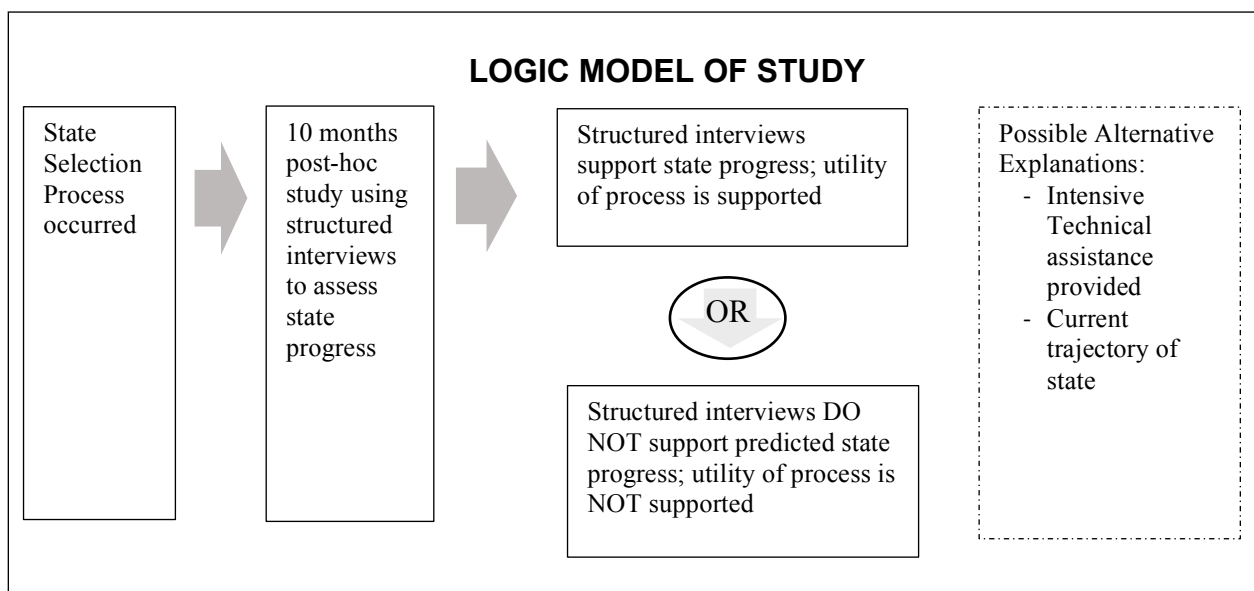representation of the logic model used for this study.

Figure 2. Logic Model of Study

Literature Review

To explore the concept of "readiness for change" literature was reviewed to (a) identify important indicators related to "readiness for change" at the organization level, and (b) investigate how "readiness for change" is situated within implementation frameworks. An electronic search was conducted using the following databases: Wiley Online Library, OneFile (GALE), JSTOR, Social Science Citation Index (Web of Science), and Wolters Kluwer – Ovid (CrossRef). Literature from the previous 10 years (2004-2013) was searched to locate the terms *readiness for change, state readiness,* and *implementation framework* in the title or abstract. Initially, over 400 articles were identified. Search parameters were narrowed to a syntheses of literature in peer reviewed journals and resulted in identification of 41 articles for review: 16 related to *readiness for change*, five related to *state readiness*, and 20 related to *implementation framework.* Titles and abstracts were cursorily reviewed to identify those works that met criteria for full review.

Articles that included the search term *readiness for change* in the title or abstract were included for full review if they (a) identified important components indicating readiness for change at the organization level, and (b) were relevant to the field of education. Sixteen articles were initially identified for review. Of these, two were duplicates and seven were related to readiness for change involving psychological/physical health, school demographics, information technology, and job mobility. Three additional review articles were excluded because their focus was on readiness for change at the level of the individual. Only three *readiness for change* articles remained for full review.

Articles using the search term *state readiness* were searched. Inclusion criteria included that the article (a) identified important components indicating readiness for change at the state

level, and (b) held relevance for the field of education. Five articles were initially identified for review. Of these, one was a duplicate. Remaining articles were related to strength and conditioning research, state disaster planning, emergency management, and validation of a state reading achievement test. None met criteria for inclusion in this literature review.

Articles including the search term *implementation framework* in the title or abstract were considered for review if they (a) proposed a framework for implementation that identified important components indicating readiness for change, (b) included a review of previous literature, and (c) held relevance for the field of education. Twenty articles were initially identified, of which 15 were excluded because they were either not relevant or were specific to implementation in other fields including technology (e.g., network protocol, electronic government, simulation), environmental management, evaluation of health research and management, housing, public policy, or business. Five syntheses remained for review, of which only one proposed a relevant framework for implementation that met criteria, that is, the *Quality Implementation Framework* (Meyers et al., 2012).

Next, a heuristic approach was employed to review 25 frameworks Meyers et al. (2012) used to support development of their current framework, the *Quality Implementation Framework*. Additionally, an in-text search was completed to identify implementation frameworks frequently cited (i.e., more than five times) and developed within the previous 10 years (after 2004). Three frameworks emerged: *Prevention Delivery System* (Durlak & DuPre, 2008); *Active Implementation Framework* (Fixsen et al., 2005); and *Interactive Systems Framework* (Wandersman et al., 2008). However, the work of Durlak & DuPre (2008) was excluded because it was an evaluation framework. The *Interactive Systems Framework* (Wandersman et al., 2008) was excluded because it was the direct predecessor of and resulted in

the most recent framework, the *Quality Implementation Framework* (QIF) (Meyers et al., 2012),

which is described later in this chapter. Thus, only the *Active Implementation Framework* of

Fixsen et al. (2005) remained for review.

　　In addition, other sources were identified using a snowball approach, in which references

of references were pursued and emerged as the study unfolded (Greenhalgh & Peacock, 2005).

Literature identified using this approach was embedded throughout to assist with understanding

of concepts.

Readiness for Change

　　Readiness for change, as stated, involves willingness and capacity to engage in a

particular activity (Fixsen et al., 2005; Rafferty, Jimmieson, & Armenakis, 2012; Stith, Pruitt,

Dees, Fronce, Green, Som, & Linkh, 2006). If a person, organization or system proceeds with

implementation before it is ready for change, it can lead to implementation efforts that are

"ineffective and expensive" (Fixsen, Blase, Horner, Sims et al., 2013, p.1). In recent years, focus

has increased regarding the importance of readiness for change as a critical factor to consider as

part of the decision-making process for implementation of an evidence-based practice or

innovation (e.g., Blase, 2009; Fixsen, Blase, Horner, Sims et al., 2013; Fixsen, Blase, Horner, &

Sugai, 2009; Kahn et al., 2009; Peterson, 2013). In 2005, it was recognized that the concept of

readiness to implement new practices and programs had intuitive appeal but also that evidence to

support the idea of readiness was scant at any level (Fixsen et al., 2005). Further, it was

unknown, at that time, if a relationship existed among measures of readiness and later measures

of implementation success. The importance of these relationships is beginning to surface in the

literature (Castaneda et al., 2012; Rafferty et al., 2012). However, the concept of readiness

continues to be an "under-emphasized part of the implementation process" (Fixsen, Blase,

Horner, Sims et al., 2013, p.1).

In a theoretical review of business management literature conducted by Rafferty et al.

(2012) important components indicating readiness for change were investigated. Rafferty et al.

(2012) were interested in cognitive and affective components indicating readiness at multiple

levels, including the individual, workgroup, and organization. During their review process, they

discovered that a lack of attention continues related to the affective element of change readiness.

Rafferty et al. (2012) further concluded there is a lack of acknowledgement in the literature

related to the need for a multilevel perspective when considering change readiness. Based on

their review, they proposed that an organization's readiness to change is influenced by the shared

belief that (a) change is needed, (b) capability exists to successfully commit to change, and

(c) change will result in positive outcomes for the organization. They identified as indicators of

organizational change readiness as a strong "future focus," "robust strategies and flexible

organizational designs," and "the ability to change routinely" (Rafferty et al., 2012, p. 124).

Additionally, they opined that readiness for change at the organizational level is impacted by the

occurrence of "current and future-oriented" positive emotional responses to organizational

change (p. 117). As a result of their work, they proposed that a multilevel, "isomorphic"

(Rafferty et al., 2012, p. 128) perspective must be adopted when considering change readiness—

that is, a viewpoint in which all individuals perceive readiness along the same set of dimensions

and that includes affective change readiness, cognitive change readiness, and a global evaluation

of change readiness at the individual, work group and organization levels.

In a critical literature review of 13 community and organizational readiness assessments

to identify and integrate existing assessment models of community and organizational readiness,

Castaneda et al. (2012) found that significant interest in readiness and capacity for change exists. They also found that measurement of the constructs related to readiness and capacity for change remain in their "infancy" (Castaneda et al., 2012 p. 219). They reported that special importance is placed differently on components of readiness, depending on the model. Further, they found that readiness is multilevel and multidimensional. Based on their review of organizational assessments related to readiness, Castaneda and colleagues (2012) concluded that definitions of readiness for change include "beliefs about the necessity for change, capability of implementing change, and preparation for implementing change at the community or organizational level" (p. 224).

Oakland and Tanner (2007) conducted a study with 28 business organizations using interviews to examine the gap between "often seen approaches" and "best practice" (p. 1) to identify common success factors seen as critical to successfully implementing and managing change within both private and public organizations. Across interviews, they found three common themes related to successful implementation and management of change supported in the literature: (a) triggers for change, (b) preparing for change, and (c) implementing change. Based on their findings, Oakland and Tanner (2007) developed a framework for organizational change, *The Organizational Change Framework,* with two main constructs: readiness for change and implementing change.

Oakland and Tanner (2007) recognized that "the first part – readiness – is not at all well understood or developed" and often results in "a rush to implementation, with huge emphasis on training programmes and projects" (p. 15). They state that to implement change successfully, it is important to understand "key drivers for change" in order to understand the *need for change* in such a way it can be articulated to "focus the stakeholders' desire for change" (Oakland &

Tanner, 2007, p. 16). For this understanding to develop, clear and consistent *leadership and*

direction is needed to turn identified needs into expectations, and to allow *planning* for

emergences of priorities to bring focus to "strategic objectives" (Oakland & Tanner, 2007, p. 16).

Oakland and Tanner (2007) further stated, "implementation of change is a rich tapestry of

potential failure – a minefield for the unsuspecting" (p. 16) and stressed the need for

consideration of organizational processes. This consideration includes o*rganization and*

resources (i.e., organizational structure, roles, competencies and resources) and organizational

systems and controls (i.e., performance measures). Additionally, Oakland and Tanner (2007)

stated that *behavior* is critical to successful implementation of change for "it is our behavior that

makes the processes work or not" (p. 17).

Table 1

Readiness for Change Indicators

	Rafferty, Jimmieson, & Armenakis, 2012	Castaneda, Holsher, Mumman, Salgado, Keir, Foster-Fishman, & Talavera, 2012	Oakland & Tanner, 2007
Field	Business Management	Community Health	Business
Readiness components	• Change is needed • Capability exists to successfully commit to change • Change will result in positive outcomes • Multilevel and isomorphic	• Necessity for change • Capability of implementing change • Preparation for implementing change • Multilevel and multidimensional	• Need for change • Desire for change • Organizational processes (organization and resources, systems and controls) • Planning for change • Behavior of individuals engaged in the process

The review of "readiness for change" literature revealed several indicators related to readiness for change (e.g., Castaneda et al., 2012; Fixsen, Blase, Metz, & Van Dyke, 2013; Oakland & Tanner, 2007; Rafferty et al., 2012). Across the literature, existence of the need for change was identified as a critical element of readiness. Additionally, capacity for change, availability of resources, and capability to commit to and implement change were seen as important components of readiness. Also included in the literature was a desire for change and belief that change will result in positive outcomes, which were identified as important contributors to readiness for change. Table 1 provides a summary of the literature based readiness indicators. These indicators are also present in the implementation frameworks of Fixsen Blase, Metz et al. (2013) and Meyers et al. (2012), which will be compared in the following section.

Meyers et al. (2012) conducted a systematic review of implementation across several areas of literature to increase understanding of the critical steps of the implementation process. They distilled findings from studies of 25 implementation frameworks spanning 24 years, from 1989 to 2011, to create a single framework focused on strategies for quality implementation. They included the work of authors who developed frameworks for implementation that are intended for and can be applied across one or more areas of research or practice. Information gathered from this systematic review was used to enhance their previous framework, *Interactive Systems Framework* (Wandersman et al., 2008). In the end, the synthesis of research became their current framework, the *Quality Implementation Framework*, (Meyers et al., 2012), which further identified "essential" components indicating readiness and will be described in greater detail later in the chapter.

In *Implementation Research: A Synthesis of the Literature*, Fixsen et al. (2005) reviewed literature across three decades to "synthesize research in the area of implementation as well as to determine what is known about relevant components and conditions of implementation" (p. 3). The goal of their review of the literature was to "review loosely to capture meaning, detect meaning among components and help further the development of the practice and science of implementation" (Fixsen et al., 2005, p. 3). As a result of their extensive review of the literature, they introduced a framework for implementation of evidence-based practices/innovations. Within this larger framework, a set of active implementation frameworks evolved that include elements that have been demonstrated in a wide range of settings to promote effective implementation (Blase et al., 2012; Metz, Halle, Bartley, & Blasberg, 2013). Included in these active implementation frameworks are stages of implementation and core implementation components or drivers that support successful implementation. Embedded within the stages of implementation are important indicators related to readiness to implement an evidence-based practice/innovation. In fact, Fixsen et al. (2005) recommended use of a readiness tool, the Hexagon Tool, to assess readiness during exploration, the first stage of their model for implementation. The Hexagon Tool contributed to the state selection process used by the Center under study. The implementation model will be described in more detail in the following paragraphs and the Hexagon Tool will be described in more detail in Chapter II.

Comparison of Implementation Frameworks

The Active Implementation Framework model developed by Fixsen et al. (2005) is one of 25 frameworks included in the synthesis by Meyers et al. (2012) and is frequently cited in the literature as recognizing the importance of assessing readiness and capacity for change as well as goodness of fit for implementing evidence-based practices (Franks & Schroeder, 2013). The

work of Fixsen et al. (2005) substantiates the importance of assessing readiness for change as

including certain core components prior to implementation. In addition, the Active

Implementation Frameworks developed by Fixsen et al. (2005) guide the work of several

national centers, including the SWIFT Center, the National Technical Assistance Center on

Positive Behavioral Interventions and Support (PBIS), and State Implementation and Scaling up

of Evidence Based Practices (SISEP) Centers—all of which are funded through the USDE Office

of Special Education Programs. The frameworks of Meyers et al. (2012) and Fixsen et al. (2005)

are described below.

       Quality Implementation Framework. The *Quality Implementation Framework* consists

of four phases: (a) initial considerations regarding the host setting, (b) creating a structure for

implementation, (c) ongoing structure once implementation begins, and (d) improving future

applications (Meyers et al., 2012). Embedded within the four phases are steps associated with

quality implementation that are considered "critical." The four phases are displayed in Table 2.

Table 2

Four Phases of the Quality Implementation Framework (Meyers, Durlak, & Wandersman, 2012)

Preparing for Implementation	
Phase 1	Initial considerations regarding the host setting
Phase 2	Creating a structure for implementation
Implementation	
Phase 3	Ongoing structure once implementation begins
Phase 4	Improving future applications

In phase one, *initial considerations regarding the host setting,* assessment strategies related to organizational needs, fit between the organization and innovation, and a readiness or capacity assessment are considered critical. Also critical components of phase one are decisions about adaptations that may be necessary, as well as considerations for capacity building, including buy-in from critical stakeholders, organizational capacity, staff recruitment and retention, and pre-innovation staff training. In the second phase, *creating a structure for implementation*, such structural features for implementation as implementation teams and an implementation plan are identified and developed. The work in phases one and two is done in preparation for implementation.

In the Quality Implementation Framework, the implementation of the innovation begins during phase three, *ongoing structure once implementation begins*. In this phase, important tasks include on-going technical assistance to front line providers, monitoring of on-going implementation and creating feedback mechanisms for sharing how the implementation process is progressing. *Improving future applications* is the focus during phase four. In this phase, emphasis is placed on learning from experience, and lessons learned during the process of implementation are shared so modifications can be made for improved future implementation activities.

With the *Quality Implementation Framework* (Meyers et al., 2012) readiness for change is assessed during phase one. In the pre-implementation process (phases one and two) a needs and resources assessment is conducted. The needs and resources assessment includes questions related to why the innovation is under consideration, what the need is for the innovation, what problems or conditions will be addressed, and who will benefit from the innovation effort. Additionally, an assessment is conducted to determine "fit" and includes questions related to

how the innovation fits the setting and how well the innovation matches identified needs of the

organization and/or community, their mission, priorities, values, and cultural preferences. A

capacity/readiness assessment is also conducted. The capacity/readiness assessment considers

the organization's readiness for the innovation, to what degree they have the means and will to

implement the innovation, and their degree of readiness for change. Decisions about adaptations

and strategies for capacity building are also considered critical steps during phase one.

Meyers and colleagues (2012) concluded there was "considerable agreement among the

various sources on many of the steps" and the "overall conceptualization of implementation that

emerged suggests that quality implementation is a systematic process that involves a coordinated

series of related elements" (p. 7).

Active Implementation Frameworks. As a result of the review of implementation

research conducted by Fixsen et al. (2005) five frameworks for implementation of evidence-

based practices/innovations were developed (Blase et al., 2013; Metz, 2013). Frameworks

include: (a) useable interventions/innovations, (b) stages of implementation, (c) implementation

drivers, (d) implementation teams, and (e) improvement processes (see Table 3).

Useable interventions. An intervention/innovation must be teachable, learnable, doable,

and be readily assessed in practice (Blase et al., 2013). Prior to implementation of an

intervention/innovation, it is necessary to have a clear understanding of the intervention/

innovation and its suitability for a given state, district or school.

Stages of implementation. The stages of implementation describe activities that are

essential and occur during the process of implementation. These stages are not linear; they

overlap (Blase, 2009). However, stage identification is seen as necessary for successful

implementation (Blase et al., 2012). This framework, as mentioned earlier, has four stages:

(a) exploration, (b) installation, (c) initial implementation, and (d) full implementation (Fixsen et al., 2005). In some literature, sustainability and innovation are also listed as stages of implementation. They are not strictly viewed as implementation stages in this framework, however, "literature and experience indicate the need to attend purposefully to innovation and sustainability" (Blase et al., 2013, p.15).

Table 3

Active Implementation Frameworks (Fixsen, Naoom, Blase, Friedman, & Wallace, 2005)

Framework	Key Elements
Useable Interventions/Innovations	Teachable
	Learnable
	Doable
	Readily Assessed in Practice
Stages of Implementation	Exploration
	Installation
	Initial Implementation
	Full Implementation
Implementation Drivers	Competency
	Organization
	Leadership
Implementation Teams	School-based
	District-based
	Regional-based
	State-based
Improvement Processes	Plan, Do, Study, Act
	Usability Testing
	Practice-Policy
	Communication Cycle

Goals included during *exploration* include creating readiness for change; examining the proposed innovation to determine need, fit and feasibility; promoting buy-in for the innovation and for implementation supports; making a decision to move forward (or not); and identifying implementation (Metz, 2013). During *installation*, preparing for implementation is the goal. This stage includes structural and functional changes that are made to support implementation (Blase et al., 2013). During *initial implementation,* the innovation is implemented for the first time and requires development of new skills, changing of systems, and embracing new ways of thinking (Metz, 2013). During *full implementation*, the new innovation becomes fully integrated and fully functioning (Fixsen et al., 2005).

Assessing readiness to implement evidence-based practices/innovations using active implementation frameworks (Fixsen et al., 2005) is done as a component of the exploration stage (Fixsen et al., 2013). The exploration stage involves the forming of an implementation team or re-purposing of a current group. It also includes development of a communication plan for describing the exploration process to key stakeholders. This step is followed by an analysis of data that are used to determine existence of need and prevalence of need. Targeted areas for addressing the identified needs are selected and programs and practices are identified that match the area(s) targeted and address needs. Additionally, eligible programs and practices are reviewed and assessed in relation to need, fit, resources, strength of evidence, readiness for replication, and capacity to implement. This assessment is often completed using the Hexagon Tool (Blase et al., 2009, 2013). Programs/practices are then selected based on results from the Hexagon Tool or other measure used for assessment. Methods to promote exploration and assess "buy-in" of key stakeholders and others are also developed and information and results from exploration activities are analyzed. Final selection or recommendations are made by the

implementation team, or the implementation team makes recommendations to decision makers at the appropriate level for final selection.

      Implementation drivers. The use of active implementation frameworks (Fixsen et al., 2005) includes the use of implementation drivers as the infrastructure for implementation, which are necessary to sustain and improve innovations. Implementation drivers are "leverage points" that influence competency of staff, create "enabling organizations," and guide approaches to leadership (Blase et al., 2013, p.16). There are three types of implementation drivers: (a) competency, (b) organization, and (c) leadership. Competency drivers focus on developing and improving confidence and competence. Included as competency drivers are staff selection, staff training, coaching and consultation, and staff performance assessment/fidelity (Blase et al., 2013). Organization drivers focus on ways to create an informed and hospitable environment and include use of data systems for decision making, facilitative administration, and systems intervention (Blase et al., 2013). Leadership drivers include adaptive and technical leadership. Both approaches to leadership are important for successful implementation to ensure appropriate methods are used to address challenges of different natures (Metz et al., 2013).

      Implementation teams. Implementation teams are also part of the active implementation framework and are comprised of members who represent the stakeholders and the system involved in the implementation process, and have knowledge about the innovation (Blase et al., 2013). Implementation teams are responsible for coordination, leading, sustaining and evaluating implementation efforts during the exploration stage of implementation (Sugai & Horner, 2006).

      Improvement cycles/processes. Improvement cycles/processes are used to help systems understand and build upon their strengths. The goal of improvement cycles is to increase

sustainability of a new evidence-based practice or innovation and decrease strain on the system.

Four improvement cycles exist and are used with the active implementation science frameworks.

Table 4

Comparison of Components Included in Implementation Frameworks

Quality Implementation Framework Meyers, Durlak, & Wandersman (2012)	Active Implementation Frameworks Fixsen, Naoom, Blase, Friedman, & Wallace (2005)
Phase One: Initial considerations regarding host setting	
1. Assessment Strategies	
2. Conducting a needs and resources assessment	X
3. Conducting a fit assessment	X
4. Conducting a capacity/readiness assessment:	X
5. Decisions about adaptation	X
6. Capacity building strategies (may be optional depending on results of previous elements)	
7. Obtaining explicit buy-in from critical stakeholders and fostering a supportive community/organizational climate	X
8. Building general/organizational capacity	
9. Staff recruitment/maintenance	X
10. Effective pre-innovation staff training	X

Determining readiness for change. The reviews of literature included in this study span

several decades and determined important criteria to consider when assessing readiness for

change at the organizational level. Considerations included identification and evaluation of

need, availability of resources to initiate and sustain implementation, belief that change will

result in positive outcomes, and capacity and capability to commit to and implement change.

     Implementation frameworks of Fixsen et al. (2005) and Meyers et al. (2012), described

below, include readiness components identified in the review of literature. As stated, the

Hexagon Tool has been used to assess eligible programs and practices in relation to important

components for decision-making related to readiness to implement evidence-based practices,

prior to implementation. The state selection process developed by the Center extended current

use of the Hexagon Tool by using broad factors of the Hexagon Tool during the state selection

process to predict readiness for states prior to selection. Information regarding broad factors and

considerations of the Hexagon Tool will be described in Chapter II. A comparison of readiness

components from each framework is provided in Table 4.

Gaps in the Literature

     To date, readiness for change at the individual organizational level has been the primary

focus in the literature. However, it has been suggested that the "basic logic and processes"

involved in implementation work should remain the same across all levels (Lewis, Barrett, Sugai,

& Horner, 2010, p. 5) and that creating readiness for change applies across all levels (Fixsen,

Blase, Horner et al., 2013). The National Technical Assistance Center on PBIS is one example

of a national center that uses active implementation frameworks. The PBIS Center was

established in 1997 by the U.S. Department of Education Office of Special Education Programs

with the primary purpose of gathering and disseminating evidence-based behavioral

interventions to all students, particularly students who are at risk for or display problem behavior

(Lewis et al., 2010). The PBIS Center uses the stages of implementation (Fixsen et al., 2005) as

an overall organizer for schools, districts and states as they work through the implementation

process, beginning with the process of exploration. As part of their process of exploration, teams are asked to assess "the match between an innovation and consumer need" (Barrett, Lewis, Sugai, & Horner, 2010, p. 5). To accomplish exploration, teams are required to respond to guiding questions regarding team structure, identifying whether a need for change exists, what the innovation is and how it addresses the current need or problem, what current needs or problems may be facilitators or barriers to implementation, and likelihood the team will move forward with a plan for implementation (Barrett et al., 2010).

With the use of implementation frameworks emerging at multiple levels, a deepening need exists for considering readiness for change prior to implementation of a state level innovation (Kahn et al., 2009) and "readiness for change is a critical component of both initiating and scaling up the use of evidence-based practices and other innovations in education" (Fixsen, Blase, Horner et al., 2013, p.1). Relevant and detailed information needs to be provided to individuals within an organization or system preparing for change as part of the readiness process, and core elements must exist to assess readiness for change. Fixsen and colleagues recommend the following components to include as part of any state level readiness process: identification and validation of need; consideration of required changes as part of the implementation process; a plan for change; a communication plan; an implementation plan; and a plan for collecting and reporting data.

To identify and validate need, Fixsen, Blase, Horner et al. (2013) opined that motivation for change must be strong and must be a result of current need. Thus, making *identification and validation of need* critical activities. Additionally, they recommended a "State Management Team" be developed to work on changes at the policy level and to enable implementation of effective education practice and emphasize the need for this team to work effectively with major

stakeholders to ensure change is important enough to warrant investment of resources and energy into implementation. They further stated that team membership must be diverse, alternatives and prioritization of needs are critical, and consideration must be given to *required changes* and their feasibility. In addition, resources must be available to initiate and sustain implementation. Fixsen Blase, Horner et al. (2013) also stated that a *plan for change* must be developed to initiate and manage the change process once it begins and the change must supplement not supplant what already works. Further, a readiness checklist such as the Hexagon Tool (Blase et al., 2009, 2013) should be completed to help guide the process (Fixsen, Blase, Horner et al. 2013). In addition, they asserted that a *communication plan* must be developed to allow frequent and accurate communication to flow between the practice and policy levels so necessary adjustments can be made quickly and as needed, and they see an *implementation plan* as a necessary component of the readiness process. Finally, they espoused that the "State Management Team" and major stakeholders need to identify and establish progress indicators through *data collection and reporting* that include measures of implementation infrastructure development (Fixsen, Blase, Horner et al., 2013).

The literature reviewed supports "readiness for change" as an essential component to consider as part of any change process (Castaneda et al., 2012; Oakland & Tanner, 2007; Rafferty et al., 2012), however, assessment or measurement of readiness for change at the organization level continues to be in its infancy (Castaneda et al., 2012). Additionally, development and use of tools to measure readiness for change during the decision-making process related to implementation of an evidence-base are just beginning to emerge (Blase et al., 2009, 2013). Further, current literature does not include use of a readiness assessment tool for decision-making that includes considerations for determining readiness for change as part of a

process for state selection to implement an innovation or framework (i.e., schoolwide inclusive school reform).

Purpose of Study

In light of the problem statement and literature review, the purpose of this qualitative, post hoc study, conducted 10 months post state selection, was (a) to determine the relationship between what was predicted during state selection and state progress that occurred, (b) to explore utility of the state selection process used by the Center for use by other national centers, and (c) to predict state readiness to partner with them to implement an evidence-based innovation.

Research Questions

Structured interviews were conducted with key stakeholders in the five selected states to answer the following research questions:

- Was the state selection process developed by the Center to predict readiness using broad factors of the Hexagon Tool supported by state progress 10 months post selection?

- If so, can the process have utility for replication by other national centers?

CHAPTER II—METHOD

Chapter II begins with a description of the Hexagon Tool decision-making process, followed by an explanation of how the tool and process were adapted and used by the SWIFT Center to determine state readiness as part of the process for selecting states. Next, research methodology is shared, followed by descriptions of the sampling selection, data collection, and data analysis. This study used structured interviews, conducted 10 months post selection with individuals engaged in implementation work within each selected state to provide early outcome data to assess post selection state progress.

Hexagon Tool

Broad factors of the Hexagon Tool are used during the decision-making process to assess readiness for implementation of an evidence-base practice/innovation. The Hexagon Tool includes six broad factors. The first broad factor is *identification of need*. Determining *fit* with the social and political context of the organization is also considered during the decision-making process. Additionally, *availability of resources*, including such resources as time, funding, and materials available for use are considered. With this backdrop, *evidence to support use of the* evidence-based practice or innovation is discussed. Readiness for replication and capacity to *implement* are also important factors that are considered (Blase, 2013). See Table 5 for additional information related to broad factors and considerations of the Hexagon Tool.

Table 5

Broad Factors and Considerations of the Hexagon Tool: An Evidence-based Practice

Exploration Tool (Blase, Kizer, & Van Dyke, 2009, 2013)

Broad Factor	Considerations
Need	Need in school, district, or state - Academic and socially significant issues - Parent and community perceptions of need - Data indicating need
Fit	Fit with current initiatives: - School, district, state priorities - Organizational structures - Community values
Resources	Resource and supports for: - Curricula and classroom - Technology supports - Staffing - Training - Data systems - Coaching and supervision - Administration and system
Evidence	Evidence: - Outcomes – Is it worth it? - Fidelity data - Cost – effectiveness data - Number of studies - Population similarities - Diverse cultural groups - Efficacy of effectiveness
Readiness	Readiness for Replication: - Qualified purveyor - Expert technical assistance available - Mature sites to observe - Several replications - How well is it operationalized? - Are implementation drivers operationalized?
Capacity	Capacity to implement: - Staff meet minimum requirements - Able to sustain implementation drivers - Financially - Structurally - Buy-in process operationalized - Practitioners - Families

When using the Hexagon Tool process for decision-making, team members gather information related to broad factors, and then present the information to the decision-making team. Following discussion and dialogue, team members usually rate each factor on a scale from 1-5, with 1 being a low level of acceptability, and 5 equivalent to a high level of acceptability for each factor. Following this dialogue, scores are averaged and used to "generate discussion" and help the team with decision-making (Blase, 2009, p. 4). After information related to each factor is reviewed, team members are encouraged to vote privately or in a "round-robin" fashion followed by public voting (Blase, 2009, p. 4).

The Center, as stated, adapted broad factors and considerations of the Hexagon Tool for use to predict state readiness to partner with the Center. This adaption was accomplished by modifying some of the existing prompts and by adding additional prompts and considerations, which were used to guide the state selection process. Blase et al. (2009, 2013) stated that considerations (discussion prompts) listed under each broad factor of the Hexagon Tool are not intended to be exhaustive. Further, they assert that during a decision-making process it "may be necessary to add additional prompts" to "direct you to relevant dimensions that your team may want to discuss before rating the factor" (Blase et al., 2009, p. 3). To assess readiness for change at the state level during the state selection process, additional prompts were necessary. Considerations adapted by the SWIFT Center are included in Table 6.

In addition to adapting considerations (discussion prompts) related to each of the broad factors, the ranking process was also adapted. The Center used a ranking process to rank applicant states from 1-10. Each team member ranked states with a ranking of one being the first choice and 10 the last. Following ranking, which was completed individually, discussion

occurred, and resulted in selection of five states to participate with the SWIFT Center. The five

selected states were included in the post hoc study.

Table 6

Hexagon Tool Factors and Considerations Adapted for State Selection

Factor	Consideration
Need	- Extent to which partnering with the national center appeals to SEA as needed for achieving its goal for inclusive school reform - Present level of interest for partnering
Fit with SWIFT framework	- Extent of SEA support for students with extensive support needs - Extent of LEA partnerships with parent groups to increase family partnerships and engagement with schools - Extent to which national center and SEA are on the same page
Extent and availability of resources	- Extent of SEA engagement with professional & family associations & community, public or private entities - Extent of systemic change efforts involving national centers - Extent of professional learning opportunities for educators and school leaders directed toward school reform - Extent that TA systems operate statewide to accomplish school reform activities - Extent of SEA & LEA willingness to provide resources for implementation and scale up
Evidence indicating positive outcomes	- Extent of state investment in and promoting of evidence-based practices to include: Positive Behavioral Interventions and Support (PBIS), Multi-Tiered System of Support (MTSS), Response to Intervention (RTI), Universal Design for Learning (UDL) - Extent of implementation of evidence-based practices to include PBIS, MTSS, RTI, UDL - Current level of installment of common core standards in the state
Readiness for replication	- Extent LEA has schoolwide applications of PBIS and/or MTSS initiative underway - Extent of interest in putting these initiatives in place
Capacity to implement	- Extent SEA will ensure stability in staff who partner - Autonomy schools have in hiring, evaluation & firing - Extent to which assignments are made through the LEA-Human Resources - Extent to which the LEA has capacity to train school-based coaches, school leadership teams etc. in core competencies needed for implementation of evidence based practices - Extent SEA is willing to provide scaffolding of resources - Extent LEA is willing to provide support to schools in transformation

Research Methodology

In education, case study research is often used as a way to develop understanding of complex social phenomena, and because of a desire to understand a real-life phenomenon in depth (Yin, 2014). Use of qualitative case study methodology is recommended when there is no experimental control of variables by the researcher (Yin, 2014). With case study methodology, the researcher explores in depth a case or cases to gain understanding, using a variety of data collection procedures over a sustained period of time (Creswell, 2009). Single case study can be used to study a unique case, and may involve multiple units of analysis within the single case (Yin, 2009). This type of case study is called a single case study with embedded units of analysis (Yin, 2009). For this study, several research methods that are available in the social sciences were considered. The Yin qualitative single case study with embedded design (Figure 3) was selected (Yin, 2009) as a "device" to focus inquiry, add opportunities for analysis, and "enhance insights" into the single case (Yin, 2009, p. 52). Additionally, use of this approach offered a rigorous, empirical design to inform utility of SWIFT Center's state selection process.

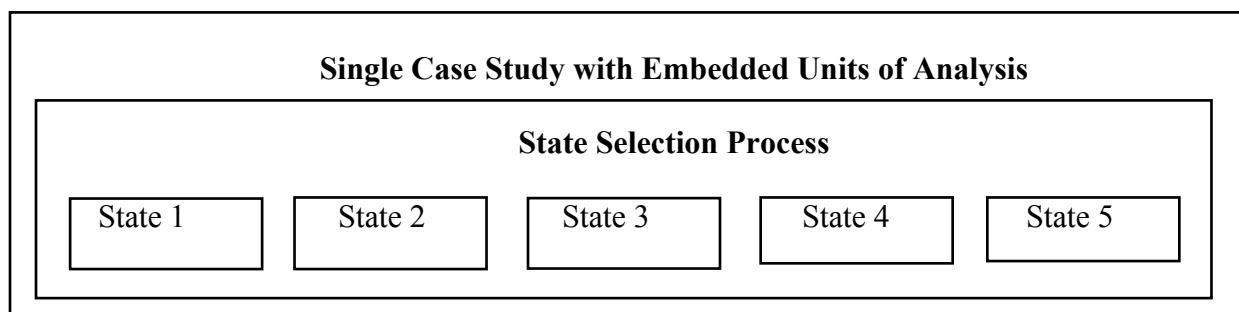| Single Case Study with Embedded Units of Analysis				
State Selection Process				
State 1	State 2	State 3	State 4	State 5

Figure 3. Single case study with embedded units of analysis

Sampling

As previously described, the state selection process for the National Center on Schoolwide Inclusive School Reform (the Center) included use of broad factors of the Hexagon

Tool, which formed, in part, the process for state selection and resulted in identification of

strengths and challenges for each state. In the following section, sampling data are presented.

They include student placement and academic data for each selected state, followed by strengths

and challenges identified during the selection process for each of the five selected states. States

selected to partner with the Center were identified numerically from 1 to 5, in order of selection.

State Student Data

Student data related to placement, demographics and achievement are included to provide

a snapshot for each state's student populations at the time of selection. Included is statistical

information regarding special education and percentages of students in grade kindergarten

through eighth (K-8th) identified with and without disabilities. Additionally, student

achievement data, as measured by state assessments for students with and without disabilities

scoring at proficient or above in reading/language arts and math, are reported.

Statistical information regarding special education. The percentage of students with

Individual Education Programs (IEPs) for the states ranged from 7.35% in State 4 to 9.55% in

State 3. The highest percentages of students with IEPs in general education classes 80% *or more*

of the time were reported in States 2, 3, and 5 (73.71%, 73.73%, and 71.82%, respectively) and

States 2 and 3 were reported among states with the lowest percentages of students with IEPs

served 40% *or less* of the time in general education (6.9% and 8.32%). Additionally, States 2, 3,

and 5 had the lowest percentages of students in general education 40% *or less* of the time. See

Table 7 for additional information. Percentages for students within general education (GE) and

special education (SE) for subgroups grades kindergarten through eighth grade (K-8) are

reported in Table 8.

Table 7

Percent of Students with Individual Education Programs (IEPs) and Educational Environment by State

Student classification	State 1	State 2	State 3	State 4	State 5
Students with IEPs	7.87	9.24	9.55	7.35	9.09
Students in general education 80% or more of the time	66.25	73.71	73.73	67.12	71.82
Students in general education 40% or less of the time	13.47	6.9	8.32	13.66	10.74

Source: Percentages collected from state selection document review

Table 8

Percent K-8th Students by Ethnic Subgroup and Educational Placement by State

Ethnic subgroup	State 1		State 2		State 3		State 4		State 5	
	GE	SE	GE	SE	GE	SE	GE	SE	GE	SE
Hispanic/Latino	1.69	3.0	0.85	1.35	3.62	3.71	10.73	12.13	20.88	20.17
American Indian or Alaska Native	0.24	0.0	0.19	0.28	0.28	0.34	0.33	0.35	2.46	1.82
Asian	0.42	1.0	0.54	1.61	0.94	2.76	2.55	5.86	2.15	4.42
Black or African American	49.56	50.0	2.62	1.84	2.54	1.96	43.41	35.36	3.78	2.56
Native Hawaiian or other Pacific Islander	0.02	NL	0.07	NL	0.08	NL	0.08	0.14	0.47	NL
White	47.61	46.0	95.86	92.82	92.38	89.76	39.97	42.48	66.68	65.21
Two or more races	0.48	0.0	0.22	2.10	0.17	1.47	2.94	3.67	3.58	4.17
English Language	NL	1.15	NL	1.56	NL	2.04	NL	5.75	NL	10.33

Source: Percentages collected from state selection document review.

Note: GE = General education placement; SE = Special education placement; NL = not listed.

Student achievement data for students in states selected is reported in Table 9. Present

level of student achievement as measured by state assessments (combined grades) is included.

Percentages of students scoring at proficiency or advanced (meeting or exceeding the state

standards) is reported for reading/language arts and math.

Table 9

Percent of Students Scoring Proficient or Advanced in State Reading/Language Arts and Math
Assessment by Group and by State

	State 1		State 2		State 3		State 4		State 5	
	R/LA	M	R/LA	M	R/LA	M	R/LA	M	R/LA	M
All students	50-54	33-46	73	65	79	67	81-90	69-90	63	72
Students with disabilities	46	55	23	18	36	29	66	56	50	32

Source: Percentages collected from state selection document review.

Note: R/LA = reading/language arts' M = math.

State Strengths and Challenges

Strengths and challenges identified for each of the selected states during the state

selection process are presented in the following paragraphs. Strengths and challenges were

determined using discussion prompts related to broad factors and considerations as adapted for

use by the SWIFT Center.

State 1. Strengths identified for State 1 during the state selection process included high

interest in partnering with the Center, accompanied with a "desire" to receive help. Further,

willingness to put resources into the change effort and having the "right people at the table"

during the pre-selection state visit were described as strengths. In addition, State 1 was reported

as having at least one philanthropic organization interested in working with the state on issues of

race and gender equity. Finally, State 1 was reported as considering flexibility with the "TA

[technical assistance] model" and the possibility of scaling up "quickly" as strengths.

Challenges for State 1 included the state's high level of need, concern regarding the

extent and duration of long-term commitment at the state level and "barriers in terms of

communication between General and Special Education." Finally, a lack of established

relationships with IHEs within the state was reported as a challenge. Table 10 summarizes.

Table 10

State 1 Strengths and Challenges Identified During the State Selection Process

State	Strengths	Challenges
1	- High interest	- High need
	- High need: wants help	- Concerns about long-term
	- Right people at the table	commitment from State
	- Willing to put resources behind effort	Education Agency (SEA)
	- Opportunity to demonstrate scale quickly	- Barriers in terms of communication between
	- Philanthropic investment in the state regarding racial and gender equity	General Education and Special Education
	- Flexibility in technical assistance (TA) model	- Institute of Higher Education (IHE) relationships

State 2. For State 2, several strengths were identified. This included enthusiasm to

partner with the Center, strong IHE support, a strong state agency in connection to the LEA,

thoughtful LEA representatives, and state technical assistance that was "well thought out."

Additionally, the state was considered very connected to state level decision makers (i.e.,

government officials). Table 11 summarizes.

Table 11

State 2 Strengths and Challenges Identified During the State Selection Process

State	Strengths	Challenges
2	- Strong state agency in connection to local educational agency (LEA)	- None Identified
	- LEA representatives were thoughtful	
	- Very connected state to government officials	
	- Strong IHE support	
	- Very well organized and committed	
	- State level teams conducted with mental health	
	- Enthusiasm	
	- State TA is well thought out	

State 3. State 3 was reported as having a "strong desire" for partnering with the Center.

State 3 was described as having a strong IHE relationship, as well as partnerships with disability

advocates in the state. State 3 was also described as having infrastructure features to support

professional development and evidence-based innovations (RTI and PBIS) in place across the

state. Another strength for this state was its availability of resources and degree to which the

state was prepared to work with the Center. Potential challenges for State 3 included concerns

about replication and sustainability of the framework, and strength of LEAs. Table 12

summarizes.

Table 12

State 3 Strengths and Challenges Identified During the State Selection Process

State	Strengths	Challenges
3	- Strong desire	- LEA not as strong as SEA
	- Infrastructure around professional development	- Did not build infrastructure for PBIS
	- Response to Intervention (RTI) and Positive Behavioral Interventions and Support (PBIS) in place	- Concerns about replication and sustainability
	- University and disability advocate partnership	
	- Strong IHE relationship	
	- Resources within the state	
	- Well prepared to work with us	

State 4. State 4 had a strong desire to "infuse a true inclusive approach." Additionally,

the state was reported as having a strong IHE collaboration and partnerships with other agencies,

a strong department at the state level for Curriculum and Instruction, strong implementation of

MTSS on the behavior side (i.e., PBIS), and the presence of a large urban district within the state

"at the table" during the pre-selection meeting. Challenges for State 4 included the state's high

number of "special schools," the desire of parents to keep "exclusive" special schools, strength

of special education within the state, and concerns about demands on large urban districts, which

included concern that the superintendent of the large urban district left during the pre-selection

meeting. Table 13 summarizes.

Table 13

State 4 Strengths and Challenges Identified During the State Selection Process

State	Strengths	Challenges
4	- Want to infuse a true inclusive approach	- High number of special
	- Brought large urban district to the table	schools
	- Strong Multi-Tiered System of Support	- Concerns about the demands
	(MTSS) for behavior	of large urban district
	- Mental Health Integration in prospective LEA	- Special Education is not
	- Highest % of PBIS implementation	strong
	- Race to the Top District	- Superintendent of large
	- Strong Curriculum & Instruction Department	urban district left meeting
	- Strong IHE collaboration	- Parent battle to keep
		"exclusive" special schools

State 5. Strengths identified for State 5 included that the state was "addressing issues of

equity" and being "introspective about challenges" with implementation. State 5 was also noted

as having strong support from IHEs. In addition, a strength of State 5 was alignment of the state

education department with an MTSS framework, and the merging of Special Education and

General Education at the state level. Additional strengths noted for State 5 included diverse LEA

representation (urban, rural, high need) and the level of knowledge that existed within the LEAs.

The state was also reported as optimistic that funding through the legislature would be committed to implementation of the SWIFT transformation process. Potential challenges for State 5 included concerns about infrastructure within the state and the absence of General Education "at the table" during the pre-selection process. An additional challenge for State 5 was that there was "not a lot of local accountability" for LEAs in this state. Finally, while optimism existed that funding would be committed to the implementation process, resources at the time of state selection were lacking in some areas of the state, which had resulted in budget cuts and loss of instructional coaches for at least one prospective LEA. Table 14 summarizes.

Table 14

State 5 Strengths and Challenges Identified During the State Selection Process

State	Strengths	Challenges
5	– State addresses issues of equity – District level is knowledgeable – State department aligned with MTSS framework; merging Special & General Education – IHE support – Optimistic about legislative funding and resources that could be committed to SWIFT – Diverse LEA representation (urban, rural, high need) – Department aligned with MTSS type framework – Only one special school – Introspective about the challenges	– Not a lot of local accountability in large urban LEA – General Education was not at the table – Lacking resources – Difficulty implementing for 1 LEA (budget, loss of coaches) – Concerns with infrastructure within state

Data Collection Plan

Structured Interview Participants

Yin (2009) identifies six sources of evidence for use with case study research:

documentation, archival records, interviews, direct observations, participant observation, and

physical artifacts. For this study, structured interviews were the primary source of data with use

of documents to support data collected from interviews. Use of documents included notes and

agendas to confirm team membership and meeting content. For structured interviews, purposeful

sampling was used to ensure participant selection included multiple roles across the five states

selected to partner with SWIFT Center and accounted for local conditions (Erlandson, Harris,

Skipper, & Allen, 1993). This also allowed multiple perspectives to be gathered from within

each state from individuals closely connected to and familiar with the implementation process in

their assigned state (Figure 4) and added to robustness of the data (Yin, 2012, 2014).

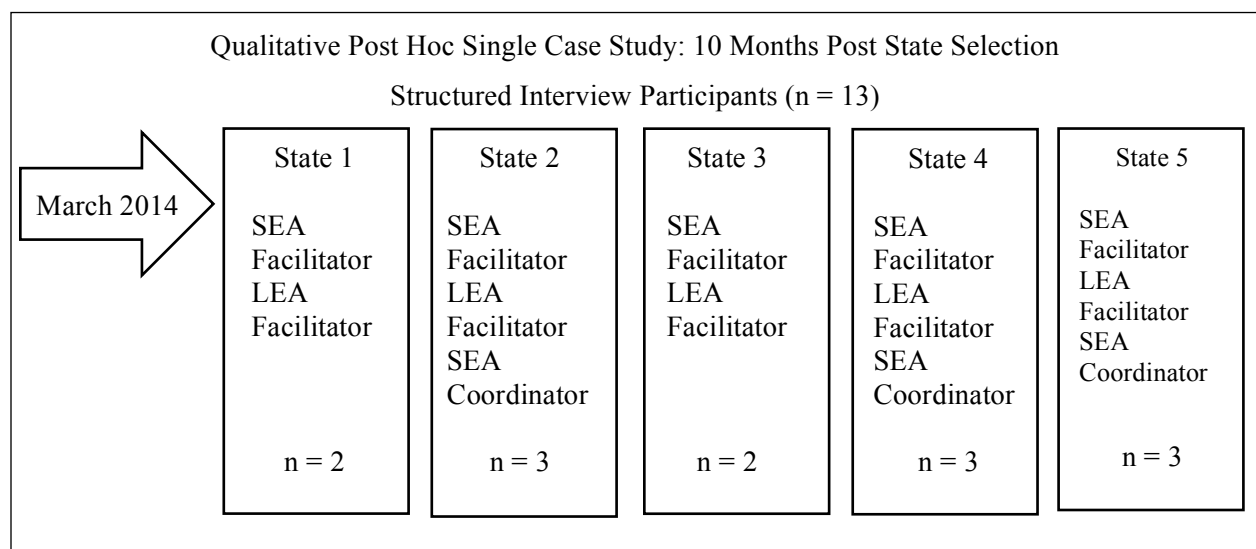| Qualitative Post Hoc Single Case Study: 10 Months Post State Selection				
Structured Interview Participants (n = 13)				
State 1	State 2	State 3	State 4	State 5
SEA Facilitator LEA Facilitator	SEA Facilitator LEA Facilitator SEA Coordinator	SEA Facilitator LEA Facilitator	SEA Facilitator LEA Facilitator SEA Coordinator	SEA Facilitator LEA Facilitator SEA Coordinator
n = 2	n = 3	n = 2	n = 3	n = 3

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Figure 4. *Structured Interview Participants by State*

The organizational structure for the SWIFT Center included SEA and LEA facilitators

who were employees of the Center, and in-state coordinators from within each local area. To

distinguish between roles, the term "facilitator" was used to reference SWIFT Center personnel

who facilitated the implementation process and the term "coordinator" was used to refer to individuals who worked within the SEAs and LEAs to coordinate the SWIFT transformation process with support from SWIFT Center personnel. In each participating state, in-state coordinator roles were developed so they could mirror facilitator roles and work in partnership with SWIFT personnel to bring change to the state. SEA and LEA facilitators worked in partnership with SEA and LEA coordinators to provide guidance and support to in-state coordinators and teams to help them understand how to change on their own to build capacity and sustain implementation of inclusive educational practices within the state once involvement with the Center ended. SEA and LEA facilitators, and SEA coordinators served in three distinctly different roles, each directly engaged in the implementation process in a unique capacity. Facilitators and coordinators were considered the "boots on the ground" for SWIFT because of their direct involvement with teams in their assigned state or states. Their perspectives were important because of their close connection and familiarity with nuances that existed in the state or states where they were assigned.

SEA facilitators. A total of five SEA facilitator interviews were conducted, with four different individuals, one representing each state. One of the five states had multiple facilitators who shared the SEA facilitator role. In this state, only one facilitator was interviewed. The remaining four states had one facilitator, and of those, one facilitator worked across the two small states.

SEA coordinators. In three of the states, the coordinator role was shared across two or more staff. In those states the lead coordinator was contacted for an interview. Out of the five states, three coordinators responded and were interviewed. The remaining two SEA coordinators

were contacted multiple times but did not respond. Thus, a total of three interviews were

conducted with SEA coordinators.

LEA facilitators. In each participating state, the lead LEA facilitator was contacted for

an interview. Four of the five states had one LEA facilitator. In the fifth state, two facilitators

shared the role at the time of the interviews. In this state, the lead facilitator was interviewed.

This resulted in a total of five LEA facilitator interviews.

Interview Protocol

A structured, or focused interview process (Yin, 2011) was used to elicit responses from

participants specific to broad factors indicating readiness, and to assess state readiness prior to,

and progress 10 months post selection. Interview protocol included questions related to

identification and prioritization of need, availability of resources, and capacity to initiate and

sustain implementation within the state. Team development and communication across teams, as

well as value placed on positive outcomes of implementation were also included as part of the

protocol. For more information, see Appendix B.

Structured interview participants from the five selected states were contacted by email

and telephone to set up individual interviews. Interviews were completed using a combination of

Adobe Connect, telephone, and in-person contact. Three interviews were conducted using

Adobe Connect with telephone; seven interviews were conducted using only the telephone, and

three interviews were conducted in-person. Prior to beginning each interview, the researcher

explained the purpose of the interview and obtained verbal consent from interview participants to

be interviewed and to have the interview recorded. Participants were informed they would not

be personally or professionally identified. They were also informed they could discontinue the

interview process at any time. Interviews began with an open-ended request for information

(Hancock & Algozzine, 2006; Yin, 2009) related to inclusive educational practices in the state. Following this opening, the researcher posed specific questions related to broad factors indicating readiness.

All participants consented to having their interview recorded. Recordings were stored on a password protected computer and used only for the purpose of the research study. Transcripts were produced by two individuals. The researcher transcribed the first two interviews verbatim and a professional transcriptionist produced verbatim the remaining eleven transcripts. The researcher, following transcription of each interview, listened to each audio recording while simultaneously reading the completed transcript to ensure accuracy of the transcript. Changes and modifications were made when necessary. Following this, each focused interview participant was sent the updated transcript and invited to check for accuracy. All (100%) participants engaged in this process. Recordings were destroyed following transcription and coding. All interviews were conducted at a time and in a place that was agreed upon by the participant. Interviews ranged between 20 and 44 minutes, with an average of 30 minutes per interview.

The Researcher and the Researcher's Role

The researcher is recognized in qualitative research as the primary instrument of data collection, and brings individual biases to the research experience. As the researcher in this study, I was aware that past and current experiences influenced my ability to make meaning of findings, and that past work shaped my impressions. In the role of researcher, I remained cognizant of past experiences from a variety of systems and multiple lenses as a white female educator, from the Midwest. I was also aware of past experiences related to professional change from the perspectives of paraprofessional, classroom teacher, administrative support, district and

state level technical assistance, state and federal grant project coordination and management,

higher education and university research, and state level technical assistance support and

development as a member of the SWIFT Center team. As such, I have experienced

organizational change from within numerous settings with very different cultures including

juvenile detention, mental health, special education, foster care and community settings,

adolescent and adult residential treatment, non-profit, state departments of education, and

university. I have experienced change from the "top down" and "bottom up," as a willing

participant, and, at times, as someone who was resistant to change. Further, I recognize my

direct involvement in the work of the Center as a member of the Center's SEA facilitator team,

and a member of the Center's executive team. I recognize, too, my investment in the future of

the Center, and the quality of technical assistance support provided to selected states. I also

recognize that I may have easier access to some information than individuals who are not

involved with the project, and acknowledge that I am aware of the potential bias that may result

due to my personal and professional interest in the Center's outcomes. I further acknowledge

that those I conferred with during my research are also invested in the Center's outcomes and

serve in integral roles that contribute to the Center's success.

Increasing Credibility and Trustworthiness

While bias cannot be eliminated (Lichtman, 2013) in qualitative research, steps can be

taken to acknowledge and minimize bias. To minimize bias I have, as the researcher, remained

vigilant regarding potential influences of my past and current experiences and my investment in

the Center. Throughout the study, I scheduled regular meetings with my advisor and members of

my dissertation committee, as well as a research colleague to discuss the study process, problem

solve, review and discuss the study and study results, and monitor impressions for bias. I also

made known my current position and relationships with individuals in states, and across the

SWIFT Center with whom I maintain communication related to this intensive technical

assistance endeavor.

Data Analysis

In qualitative research, the researcher is responsible for analyzing and making sense of

the data (Coffey & Atkinson, 1996). To increase credibility, or confidence in the truth of the

findings (Guba & Lincoln, 1994), I recorded interviews and transcribed them verbatim,

conducted transcript reviews with participants to ensure accuracy of transcripts, established inter-

rater reliability using multiple (two) coders to code 23% of the interviews, using broad factors

and considerations indicating readiness as adapted by the SWIFT Center to establish inter-rater

reliability of 80%. Interview data was triangulated using different data sources from within the

same method to ensure results from individuals with different viewpoints (Cohen & Crabtree,

2006) who served in three different capacities, and at different levels, across the five states.

The process of data collection and analysis was iterative. The use of multiple sources of

data (documents and interviews), as well as multiple perspectives from multiple states (13

interviews) allowed for triangulation. Additionally, use of multiple coders allowed for

convergence of data. Data was analyzed using an analytic cycle of qualitative analysis (Yin,

2011), which included the following five phases: compiling, disassembling, reassembling,

interpreting, and drawing conclusions. The phases of the cycle are summarized in Table 15.

Table 15

Five Phases for Analyzing Data (Yin, 2011)

Data Analysis Phase	Summary
Compile Data	Put collection of data into "order", usually in the form of a database
Disassemble Data	Break down compiled data into smaller pieces or fragments
Reassemble Data	Re-organize data into groupings and/or sequences
Interpret Data	Create a new narrative to interpret reassembled data
Conclude	Draw conclusions

During compilation of data, the researcher collected and stored data in a database, organized individually by state, using a numbering system to maintain anonymity for each state, and for individual participants. States were identified numerically 1-5. Structured interview data, memos and documents were also included as part of the database. In addition, paper copies of some data were also securely maintained.

During the process of disassembly, transcripts were coded using broad factors indicating readiness. A priori categories were used because they were seen as a valuable way to allow more accurate measurement of constructs (Eisenhardt, 1989). To disassemble and separate data into smaller fragments a procedure of "trial and error" was used (Yin, 2011, p. 178). The disassembly process was recursive and iterative, and resulted in coding aligned with original responses. Additional coding was used to develop and link categories with subcategories that emerged from interview respondents.

During reassembly of data, categories were refined, and matrices created by state to triangulate data across LEA facilitators, SEA facilitators and SEA coordinators from within each state. Responses were compiled for each state using broad factors indicating readiness. This

included quotes and syntheses of information. Items were coded as strengths if they contributed

to state progress, and challenges if seen as hindering progress. Other items were coded as

"neutral" or "other."

Analysis for embedded units of analysis (states) occurred using a matrix and individual

interview transcripts. Overall interpretation of the single case occurred by combining data from

across the five embedded units of study. Conclusions were drawn based on the researcher's

ability to interpret and synthesize data from across the embedded units of analysis (five states)

and to draw conclusions related to the research questions. Possible rival explanations are

included in the discussion section (i.e, intensive technical assistance during the 10 months post

selection; current state trajectory)

<div align="center">**Access and Sample Selection**</div>

Upon approval from the University of Kansas Human Subjects Committee Lawrence

Campus (Appendix C), the researcher contacted SWIFT SEA and LEA facilitators to inform

them of the study and to gain access to email contact information for each state's SEA

coordinator. Additionally, the researcher requested the participation of SEA and LEA

facilitators, and SEA coordinators in the focused interview process

CHAPTER III—RESULTS

Chapter III provides a summary of results from structured interviews to answer the following research questions: Was the state selection process developed by the national center to predict readiness using broad factors of the Hexagon Tool supported by state progress 10 months post selection? If so, can the process have utility for replication by other national centers?

To answer the research questions, structured interviews were conducted with SEA facilitators, SEA coordinators, and LEA facilitators from each of the five selected states. The purpose of interviews was to gain multiple in-state perspectives regarding each state's post selection progress to (a) determine the relationship between what was predicted at the time of state selection and state level progress10 months post selection, and (b) assess utility of the state selection process for replication by other national centers. Chapter III has two sections. First, data is presented for each embedded unit of study (each state) using broad factors indicating readiness (i.e., recognition of need, resources to initiate and sustain implementation, and capacity to initiate and sustain implementation). Section one also includes state implementation and leadership team membership information. Section two is a summary of the single case study.

State 1

Recognition of need. During the state selection process, high need for inclusive educational practices was a priority for State 1, and was substantiated during the interview process. "Traditional views about kids with disabilities" in the state were reported as resulting in "highly separate programs" for students with disabilities. Further, individuals within the state were reported as having "difficulty understanding what inclusive practices are, especially for students with severe disabilities." In State 1, "just moving kids" from a separate setting into an "inclusion room" was reported as "inclusion." Further, the state was described as having "a long

history of issues with race and disability" accompanied by a "lack of investment in poor and

black" and "stark differences between wealthy and not so wealthy."

Resources to initiate and sustain implementation. With regard to resources, State 1

was reported as "willing to put resources behind the effort," which the state did by hiring a full-

time SEA coordinator. However, a respondent shared the following: "I believe [the state] is

willing and receptive, but I don't think they've identified any way to do that [invest in resources

for sustainability and local capacity] other than hiring the SEA coordinator."

Capacity to initiate and sustain implementation. In regard to capacity for State 1, long

term commitment from the state, necessary for initiating and sustaining implementation, was a

concern. It was reported that "in terms of being systematic at the state level, I can't really tell

you that I witnessed anything that says to me that we're moving in a systematic, strategic,

thoughtful way." Additionally, "they [SEA] seem to be a little more 'siloed'. . . and don't seem

to communicate a lot." Concern was also expressed regarding a lack of communication between

general education and special education and lack of involvement of IHE's with schools. "They

[state implementation team members] did mention in a recent meeting that they haven't included

special educators in the past and they're trying to include special educators a little bit more."

Regarding IHEs, challenges were reported during interviews. A respondent verbalized

that "they [the IHEs] are not producing good quality general or special educators" and that the

IHEs are "disconnected from the schools." Further, State 1 did not, 10 months post selection,

have State Implementation or State Leadership Teams that included representation from IHEs.

As previously stated, State 1 was willing to put resources into the change effort, however,

their extensive need for inclusive educational practices, predicted at the time of selection,

affected progress for State 1. A respondent summarized thoughts about progress when sharing the following:

> Organizational structural issues exist that are causing a lot of friction. . . SWIFT is
>
> bigger than [state representatives] thought it was. . . it is a lot more work than
>
> anticipated because you're talking about creating new infrastructure, new
>
> processes, new ways of relating. . . you know, the whole de-siloing thing. They
>
> like it but are trying to figure it out.

State 2

  Recognition of need. In state 2, a need for more inclusive educational practices was expressed during the interview process as "…teachers really struggle in the classroom with kids whose needs are more intensive." Additionally, use of paraprofessionals was considered a need for State 2 due to the state's current use of "the velcro approach where students are only allowed to attend [general education classes] if they have a para with them."

  Resources to initiate and sustain implementation. Implementation science was at the forefront as a resource for initiating and sustaining implementation in State 2 and was described as being "heavily woven into everything we're doing, everything we're communicating to the field . . . we're embedded and we're committed to implementation science." Additionally, in State 2 investment in sustainability was being incorporated through,

> purposeful planning, keeping the big picture in front of our efforts, every step of
>
> the way, from Exploration to Full Implementation. . . . Implementation science is
>
> a continual learning process. We're doing it. We're learning from it. . . we can
>
> bring our knowledge and our approaches within that framework, knowing that the
>
> big picture, sustainability, is the goal.

For State 2, allocation of resources to initiate implementation were allowing the state to

move forward and were identified, at the time of interviews, in the following way. The state was

looking at

> the possibility that money used for school improvements in other ways can be
>
> combined at the state level in support of SWIFT. The resources SWIFT would
>
> bring coupled with some of what the state already has. . . will make it less
>
> resource intensive so they can work smarter not harder—and with less money,
>
> and to better effect than more money to lesser effect.
>
> In addition, strong relationships with IHEs included a relationship that existed "to

develop future educators to work in SWIFT schools." Another resource identified in

State 2 was use of data, which was reported as what "drives work and sets priorities."

Capacity to initiate and sustain implementation. The state level system was identified

as "well organized and committed" to the process of implementation. A respondent shared that

> global thinking is also a determinant in establishing the direction of our work. A
>
> global perspective combined with statewide perspective, focused on economics,
>
> political, social, and cultural feature, qualitative features, in general, drive what
>
> our priorities will eventually be.
>
> Additionally, the state level system was described as "a neat machine." A

respondent shared the following regarding the state system, "I look at all the pieces, and I

look at how in spite of everything, stuff really does get done."

State 3

Recognition of need. In State 3, recognition of need was identified in regard to the need

for more inclusive practices and increased support for educators (related to inclusive educational

practices). A respondent indicated that State 3 had a "long history of inclusive education as one

kid at a time and figuring it out one kid at a time every single year," which resulted in "a lot of

resources on training and retraining but not on sustaining" and "a lot of paraprofessionals." In

State 3, identification and prioritization of needs was determined "in part by what's written in the

waiver. . . and one of the big priorities is to have any and all conversations about curriculum and

standards be very carefully articulated in a conversation for all students."

      Resources to initiate and sustain implementation. In State 3, use of implementation

science was described as a valuable resource for initiating and sustaining implementation. The

state was described as "heavily invested in implementation science, and using it as a way to

really walk the talk." State 3 was also engaging in an interview process to put in place a shared

position between the state and university to hire a person who would "assess readiness and teach

folks about active implementation, about the SWIFT domains and core features, about the

framework as a whole."

      Capacity to initiate and sustain implementation. In State 3, the state level

system was described as "well prepared" to work with the Center. Additionally, it was

declared that state leadership was "very outcome based . . . they're driven to see

outcomes, results from their investment and effort." State 3 was also portrayed as seeing

implementation of the SWIFT framework as "the thing that makes the most sense for

shifting the department from a management organization to a leadership organization

because SWIFT provides the framework that helps department staff and administrators

make sense of the whole of their work."

State 4

  Recognition of need. In State 4, recognition of need was identified during the state selection process when a respondent shared the following summary related to their needs

   general educators not being strong in their conviction that they can provide the support in

   a general education class, some community expectations and parental expectations that

   their child can only be serviced in "that" room.

  The same respondent shared that State 4 prioritization of needs was accomplished through use of multiple sources of data and that "multiple data is now driving, determining what priorities should be."

  Resources to initiate and sustain implementation. Resources for initiating and sustaining implementation of the SWIFT in State 4 included relationships with IHEs and external partnerships who "provided UDL and PBIS support" as well as support with response to intervention (RTI), and these initiatives were considered valuable resources by multiple respondents for initiating and sustaining implementation. In addition, the use of implementation science was considered an important resource for initiating and sustaining implementation of the SWIFT in the state.

  A respondent representing State 4 declared that "the resource is the people" and that "the people at the state level want to do it [implement SWIFT]." In fact, state level team members, at the time of interviews, were engaging partners to talk about and align SWIFT work with other state initiatives and the state was described as having "strong leadership" dedicated to cross-divisional teaming.

  Capacity to initiate and sustain implementation. In State 4, the SWIFT has been integrated into the state strategic plan**.** The first four districts engaged in the SWIFT

implementation process were considered as piloting the process as the state works on a

small scale to refine the process "to roll it out to other districts over time." Also, in State

4, a respondent declared with excitement that "momentum is building" through the

"boots on the ground" direct contact, starting from the school up, and this is "creating

momentum."

State 5

      Recognition of need. State 5 was described as having a lot of rural areas without

sufficient resources, including professional staff and material resources needed to support

students with significant needs. Needs in State 5 included "geography and a lack of change and

poverty… and the poverty is not only inside communities and families. It has also resulted, I

think, in a relatively impoverished state system for education." This confirmed needs previously

identified during state selection (ie., lack of resources). When prioritizing needs in State 5,

initiatives that support districts in practice, especially around RTI, were prioritized as well as

giving support in "developing the multi-tiered processes that need to be in play before using an

RTI methodology for [special education] eligibility."

      Resources to initiate and sustain implementation. In State 5, relationships with IHEs

were confirmed during interviews as a strength that existed:

> There's a very large number of people who are well-educated about issues that
>
> deal with kids with ability differences. And I think that comes out of the long
>
> term leadership role the [IHE] has had preparing personnel. And it is
>
> complemented and expanded by other universities . . . these are institutions that
>
> have faculty who have longstanding commitment to the work. They have a

relatively innovative licensure system, which also means they have capacity to

deliver.

Additionally, use of implementation science was at the forefront as a resource for

initiating and sustaining implementation in State 5.

Resource allocation for State 5 was described as including a "pretty healthy" staff in

numbers at the department. One respondent shared that "the state recently restructured and was

committed to cutting down silos at their level." A second respondent voiced that "I have a

feeling that the reorganization has, something happened there . . . they hired people specifically

to be part of this project . . . that shows commitment and shows value and shows importance."

The same respondent shared further that "those people have been traveling around the state and

been present in the schools that are doing SWIFT, which, I think, given the geography is, in and

of itself a commitment, and that support will sustain whether or not SWIFT funding happens."

Capacity to initiate and sustain implementation. In State 5, the state level

system was portrayed as "introspective about challenges." During interviews, a

respondent validated the introspective nature of the state by sharing that the state was

"weaving the work already started in the state with the SWIFT framework." The same

respondent shared that "it [the SWIFT framework] aligns really well and we need to keep

that momentum going."

States' Implementation and Leadership Teams

A requirement for participation with the national center included development of state

implementation and leadership teams. The State Implementation Team held responsibility for

development of a sustainable technical assistance and support process for implementing the

SWIFT Framework using the active implementation frameworks. This team disseminated

information to stakeholders about SWIFT state level implementation and was responsible for

scaling up and sustaining SWIFT implementation in selected districts and schools across the

state. Recommended roles for SEA Implementation Teams included assistant superintendents,

and representatives of critical sections including specialized services, Title I and higher

education. The SWIFT in-state SEA coordinators were also members of this team.

The State Leadership Team advised the State Board of Education on policy-practice

transformation, reviewed progress of SWIFT implementation, and supported network

development with key agencies and stakeholders. State Leadership Team membership typically

included members from the State Implementation Team as well as the state superintendent or

assistant superintendent, curriculum/instruction leader, special education lead administrator, key

representatives from LEA Implementation Teams, SWIFT in-state coordinator, and

representative from critical areas such as human resources, finance, early childhood, family, and

community.

In all five states, representation from key stakeholders was included on both state level

teams. While variance existed among state level team memberships, State Implementation and

State Leadership Teams were established, and meeting regularly in four of the five selected

states (States 2-5). In State 1, a respondent communicated during the interview process that state

level teams, at the time of the interview, were still in development and communication had "been

mostly informal. . . it's kind of an adhocracy, it [the team] meets when it needs to."

State Implementation Teams for States 2-5 included key leadership from the state level,

as well as representation from critical sections such as Specialized Services, Title I and other

Title programs, and IHEs. SEA coordinators were key members of the State Implementation

Teams. In all states, LEA coordinators participated on the leadership teams, and in one state, LEA coordinators were also on the State Implementation Team.

State Leadership Teams in States 2-5 included State Implementation Team members plus additional representatives from other areas critical to building capacity and sustainability within each state. For example, in State 3 the State Commissioner was a member of the Leadership Team. In States 3-5 Assistant Superintendents from one or more departments at the state level were members of the State Leadership Team. Additionally, in States 2-4 key family advocates were members of the Leadership Teams, and in State 5, active recruitment was underway for a family member to join the Leadership Team. Regional Education Centers also had representation on teams in States 3 and 5. Table 16 summarizes team memberships across the five selected states.

Table 16

State Implementation and Leadership Team Memberships

Key stakeholders	State 1	State 2	State 3	State 4	State 5
State Superintendent or Commissioner					
Assistant State Superintendent			x	x	x
Representation from critical sections (ie., Specialized Services, Title I and other Title programs)		x	x	x	x
Institutions of Higher Education (IHE)		x	x	x	x
Family Members or Family Advocates		x	x	x	
Regional Education Center(s)			x		x
SEA Coordinator(s)	x	x	x	x	x
LEA Coordinator(s)	x	x	x	x	x

Summary

For each of the five states selected, early outcome data from structured interviews supported, 10 months post select, what was predicted during the state selection process. State 1, as mentioned, was predicted to have high need, which the SWIFT State Selection Team identified during the state selection process as a challenge that would likely impede the state's progress, and it was among challenges identified during state selection that prevailed for this state 10 months post selection. This challenge included SEA commitment, which was described 10 months post selection as "limited" because "state people have so many other roles" that "they're not as readily available to support SWIFT." Additionally, SEA Leadership and Implementation teams were still in development. Further, barriers in communication between general and special education, and lack of development of relationships with IHEs continued to be challenges faced by State 1.

In States 2-5, strengths identified during the state selection process were predictive of state progress 10 months post selection. State 2, described during the state selection process as "very well organized and committed" with state technical assistance that was "well thought out" had, 10 months post selection, initiated development of a plan to blend MTSS and SWIFT as part of their expansion "to support and sustain the MTSS features." A respondent in State 2 shared that the SWIFT framework was the "graphic organizer" that made it possible for their state to move this plan forward. Additionally, a process for blending funding to support bringing state initiatives together was under development. Further, State 2, at the time of the interviews, was investigating the possibility that money used for school improvements "in other ways" be combined at the state level "in support of SWIFT." The State Leadership and State Implementation Teams for this state were established, also had broad representation, and were

meeting regularly. Additionally, strong IHE relationships were developed and members from

IHEs were represented on state level teams. The state's teams were reported as engaged in

ongoing "discourse dialogue" and "face to face interaction" to move their work forward and

"change the way things happen" in the state.

State 3, described during state selection as "well positioned" to partner with the Center,

was reported during the interview process as having state level teams that were engaged in

dialogue regarding the braiding and blending of resources to support implementation of the

SWIFT framework. Additionally, leaders from their Department of Education were conducting

an inventory of all initiatives funded through the department and "cross-walking" them with the

SWIFT framework. Further, the state commissioner was reported as "positioning the SWIFT

vision as the big umbrella for everything" in the state.

Additionally, a respondent in State 3 shared that "in 20 years of working for the

Department I have never seen a cross-bureau team come together on a weekly basis" and further

that "divisions and bureaus have been engaged" and "very much on board." Additionally,

strength of the relationship between one IHE and State 3, identified during state selection, was

validated through establishment of a shared position between the IHE and State 3, at the state

level, and dedicated to implementation of the SWIFT framework. Further, a scale up plan was in

development that included a school mentoring system where "every single school that starts to

install SWIFT takes on a mentee school" so 60% of schools across the state would be

implementing the framework within 12 years. In addition, membership and participation of IHE

representatives on state level teams supported the relationship. Finally, State Implementation

and Leadership Teams for State 3 included broad engagement and representation of stakeholders.

For State 4, the desire to "infuse a true inclusive approach" was supported during post selection interviews when a respondent stated that SWIFT had pushed the inclusive education conversation forward at the state level by "the fact that it [inclusive education] is talked about in a public space…and those conversations have been said out loud, in a way that's not finger pointing but just, you know, reality." Additionally, strength of State 4's multi-tiered system of support for PBIS, which was articulated as a strength during the interview process, supported strengths identified during state selection. Also, in State 4, State Leadership and State Implementation Teams were developed, meeting regularly, and included broad stakeholder representation.

In State 5, Special Education and General Education had recently merged at the state level, and other divisions had been re-organized to allow for "heavy cross office work" to align the state level system with an MTSS framework. Additionally, the state was in the process of aligning other state initiatives with the SWIFT framework. Also, State 5 was described as having strong IHE support that included representation from several of the state's universities. In addition, there was strong IHE support on the State Leadership and State Implementation Teams from several universities across the state.

In summary, strengths and challenges identified for the five states selected to participate with the SWIFT Center were used to predict individual state readiness prior to selection. Structured interviews were used 10 months post selection to determine post selection state progress. For example, progress for State 1, which, as previously stated, was selected based on the extent of need in the state for inclusive educational practices, experienced limited progress related to readiness 10 months post selection. In contrast, States 2-5, which were selected based on strengths identified during state selection, demonstrated progress related to factors indicating

readiness. For the five states selected, an overall predictive relationship existed between state

readiness predicted at the time of selection and state progress 10 months post selection. The

state selection process used by the Center resulted in identification of strengths and challenges

for each state that were predictive of state progress 10 months post selection. Also, early

outcome data, derived from structured interviews, supported utility Center's state selection

process. Further, replicability of the process was supported based on the ability to modify and

adapt considerations of the Hexagon Tool's broad factors for use during a state selection

decision-making process. Chapter IV discusses implications from this study's findings and

recommendations for future research.

CHAPTER IV—DISCUSSION

Conclusions

The purpose of this study was to explore the relationship between what was predicted regarding state readiness at the time of the state selection and state progress 10 months post selection. To study this predictive relationship, a Yin single case study methodology with embedded units of analysis was utilized. Structured interviews were conducted 10 months post selection to determine if the state selection process was predictive of state progress with the Center, and to assess utility of the process for replication by other national centers.

Review of literature revealed several critical components related to readiness for change at the organizational level (Castaneda et al., 2012; Fixsen, Blase, Horner et al., 2013; Meyers et al., 2012; Oakland & Tanner, 2007; Rafferty et al., 2012). Consensus exists across the literature regarding the need for identification and validation of need; necessity of having the necessary resources for initiating and sustaining implementation, and importance of having the capacity and capability to initiate and sustain implementation. While state progress varied across the five selected states 10 months post selection, some degree of progress was noted for each state.

As predicted, progress in State 1 was limited, however, the state had been able to identify and prioritize areas of need, and the position of SEA coordinator was in place. In States 2-5, progress extended beyond what had occurred in State 1. As with State 1, other states had identified area(s) of need and established the SEA coordinator position. Further, these states put in place resources and, to varying degrees, had emerging evidence of state plans for building capacity. This progress was evidenced by the extent of effort underway to braid and/or align resources and initiatives to support implementation of the SWIFT framework, and the re-configuration of state level teams, accompanied by the willingness of states to bring together

teams and/or divisions that historically had been siloed. These efforts were indicative of each

state's commitment to initiate and sustain implementation of the inclusive educational

framework.

Consideration of state readiness for change as part of a selection process allowed the

SWIFT Center to make informed decisions regarding which states to partner with to implement

the framework for inclusive education. Leadership for the Center was aware that proceeding

with implementation of an innovation without being ready to do so could result in failed

implementation (Blase et al., 2012; Fixsen, Blase, Horner et al., 2013). Thus, the need for the

development of a rigorous state selection process was recognized as critical for determining state

readiness for change prior to selection to partner with the Center.

As more national technical assistance centers are awarded funding, and more

concentrated effort is put forth for decision-making regarding potential partners, the need for a

rigorous state selection process that assesses state readiness prior to selection is increasingly

important. For newly developing centers, having access to a rigorous process for selecting states

holds great utility, as well as the increased likelihood that selected partners will possess the

willingness and capacity to engage successfully in the change process. Such a process will also

likely decrease the toll on newly developing centers for creating individual processes for state

selection.

Limitations

Each state selected to participate with the Center was unique. Conducting interviews

with SEA and LEA facilitators, and SEA coordinators allowed multiple perspectives to be shared

across several key individuals within each participating state. These perspectives came from

individuals who worked most closely with SEAs, LEAs and schools, and their unique insights

and perspectives were crucial regarding state progress related to broad factors indicating

readiness. However, interviewing a broader representation of state level team members would

likely provide additional insights regarding each state's progress post selection and enrich

interview results. This approach would, in turn, further support the predictive relationship that

exists between state readiness and state selection. Also, additional interviews would allow for

greater portrayal of individual states' current status within dimensions indicating readiness for

change.

Engaging members of the SWIFT Center Team who work alongside SEA and LEA

facilitators to support intensive technical assistance would also be a way to garner additional

insights and perspectives, and should be considered. Use of an interview or survey process

would also likely produce additional meaningful insights and variance in perspective regarding

each state's readiness for change. In addition to investigating this constituency, updating

interviews of state representatives and OSEP Project Officers who were interviewed during the

pre-selection process would likely provide further perspective regarding readiness for change

and progress within the five states selected.

Gathering additional perspectives could also be accomplished through use of a survey to

explore individual or organizational readiness for change across states. The survey could be

completed anonymously by LEA Implementation Team members, SEA Implementation and key

SWIFT Center team members. Such a survey would likely provide additional perspectives

regarding state readiness.

Another way to garner insights could be to conduct an in-depth study of one or more of

the states selected. An in depth study would allow for deeper exploration of emergent themes

specific to the state or states studied, and enhance the richness of data collected.

Further, this study was limited to interviews with individuals from states selected to partner with the Center. Interviewing states not selected to participate with the Center could hold great potential for providing rich data and insights regarding the overall state selection process. While states not selected would not be able to contribute data to support post selection progress, information gleaned from these sources would likely provide valuable insights for consideration when refining future processes for state selection.

Alternative Explanations

The most likely alternative explanations that would impact state progress 10 months post state selection in the five selected states would be the technical assistance provided during the time following selection and before post selection interviews. Intensive technical assistance, delivered in useful and productive ways, could facilitate state progress related to broad factors indicating readiness and enable forward momentum. Another alternative explanation could be that the state's trajectory was aligned with that of the national center and the state was headed in the same direction as the Center regardless of a partnership with the Center.

Implications and Future Research

Readiness for change is defined as "a developmental point at which a person, organization, or system has the capacity and willingness to engage in a particular activity" and has recently emerged as a critical component of "both initiating and scaling up" of evidence-based innovations in education (Fixsen, Blase, Horner et al., 2013). The national center used a state selection process that included use of broad factors of the Hexagon Tool to assess state readiness for change prior to state selection. In this study, state progress 10 months post selection was used to predict the relationship between what was predicted at the time of state selection and what occurred to support use of the state selection process and to support utility of

the process for use by other national centers. Early outcome data from interviews supported

what was predicted at the time of state selection. Thus, utility of the state selection process when

used to assess state readiness to partner with the national center to implement a framework for

schoolwide inclusive school reform was supported and holds utility for use by other national

centers. While unique to the purpose of identifying states to partner in implementation of a

framework for schoolwide inclusive school reform, the process investigated in this study could

be individualized and used by other national centers for selecting state partners. Future research

should consider further validation and refinement of this state selection process.

Summary

This study explored the relationship between what was predicted during state selection

and state progress that occurred 10 months post selection to assess a state selection process

employed by a national center to systematically assess state readiness to implement an integrated

framework for schoolwide inclusive school reform. To support utility of the state selection

process, early outcome data from structured interviews with SEA facilitators, SEA coordinators,

and LEA facilitators was used. Results of the study indicate a predictive relationship was found

to exist between what was predicted at the time of state selection and state progress 10 months

post selection for all states.

For State 1, challenges identified during state selection as likely to impede progress were

prevalent 10 months post selection, and progress was limited. For States 2-5, strengths related to

state readiness, identified during state selection, were validated as a result of the interview

process. For States 2-5, the emphasis each state placed on moving forward toward

implementation in their state, critical for building capacity and sustainability of an evidence

based innovation or framework, supported the state selection process used by the SWIFT Center

to assess state readiness prior to selection to participate with the Center to implement the

framework for inclusive education.

In summary, a process such as the one developed by the SWIFT Center for selecting state

partners holds great utility and provides critical information to consider when determining state

readiness for change, as well as state willingness and capacity to partner in a change process. By

having this information to inform the selection process, national centers and their partnering

states will be able to enter into their relationship with a greater understanding of what it will take

to align their efforts to scale up and sustain an innovation or framework.

As federal dollars are increasingly provided for development of large national technical

assistance and disseminations centers to bring evidence-based innovations to the field, it is

imperative that centers have access to a rigorous process for determining readiness of states prior

to selection. This study is timely and beneficial because it validates a state selection process for

determining state readiness prior to selection to partner with a national center.

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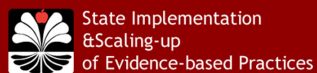APPENDICES

Appendix A: Hexagon Tool

The Hexagon Tool: Exploring Context

Adapted with permission by
The State Implementation & Scaling-up of Evidence-based Practices Center (SISEP)

Based on the work of
Kiser, Zabel, Zachik, & Smith (2007) and
The National Implementation Research Network (NIRN)

Frank Porter Graham Child Development Institute

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About

The mission of the National Implementation Research Network (NIRN) is to contribute to the best practices and science of implementation, organization change, and system reinvention to improve outcomes across the spectrum of human services.

email: nirn@unc.edu
web: http://nirn.fpg.unc.edu

Effective implementation capacity is essential to improving education. The State Implementation & Scaling-up of Evidence-based Practices Center supports education systems in creating implementation capacity for evidence-based practices benefitting students, especially those with disabilities.

email: sisep@unc.edu
web: http://www.scalingup.org

The Hexagon Tool: Exploring Context

The Hexagon Tool helps states, districts, and schools systematically evaluate new and existing interventions via six broad factors: needs, fit, resource availability, evidence, readiness for replication and capacity to implement.

Broad factors to consider when doing early stage exploration of Evidence-Based Practices (EBP)/Evidence Informed Innovations (EII) include:

- **Needs** of students; how well the program or practice might meet identified needs.
- **Fit** with current initiatives, priorities, structures and supports, and parent/community values.
- **Resource Availability** for training, staffing, technology supports, curricula, data systems and administration.
- **Evidence** indicating the outcomes that might be expected if the program or practices are implemented well.
- **Readiness for Replication** of the program, including expert assistance available, number of replications accomplished, exemplars available for observation, and how well the program is operationalized
- **Capacity to Implement** as intended and to sustain and improve implementation over time.

A thorough exploration process focused on the proposed program or practice will help your Implementation Team(s) have a productive discussion related to the six areas listed above, and to arrive at a decision to move forward (or not) grounded in solid information from multiple sources. That information will assist you in communicating with stakeholders and in developing an Implementation Plan.

There are a number of discussion prompts listed under each area of the hexagon. These prompts are not exhaustive, and you may decide that additional prompts need to be added. The prompts direct you to relevant dimensions that your team may want to discuss before rating the factor.

For example, under the area labeled *Fit,* you are reminded to consider:

- How the proposed intervention or framework 'fits' with other existing initiatives and whether implementation and outcomes are likely to be enhanced or diminished as a result of interactions with other relevant interventions
- How does it fit with the priorities of your state, district, or school?
- How does it fit with current state, district, or regional organizational structures?

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The Hexagon Tool: Exploring Context

- How does it fit with community values, including the values of diverse cultural groups?

Recommendations for Using the Hexagon Tool

The following are SISEP recommendations for using the tool:

1. Assign team members to gather information related to the six factors and to present the information to the decision-making group or relevant Implementation Team. Following report-outs related to each area and/or review of written documents, team members can individually rate each area on a 1 to 5 scale, where 1 indicates a low level of acceptability or feasibility, 3 a moderate level and 5 indicates a high level for the factor. Midpoints can be used and scored as 2 or 4.
2. You can average scores for each area across individuals and arrive at an overall average score, with a higher score indicating more favorable conditions for implementation and impact. However, cut-off scores should not be used to make the decision.
3. The scoring process is primarily designed to generate discussion and to help arrive at consensus for each factor as well as overall consensus related to moving forward or not. The numbers do not make the decision, the team does. Team discussions and consensus decision-making are required because different factors may be more or less important for a given program or practice and the context in which it is to be implemented. There also will be trade-offs among the factors. For example, a program or practice may have a high level of evidence with rigorous research and strong effect size (Evidence), but may not yet have been implemented widely outside of the research trials[1]. This should lead to a team discussion of how ready you are to be the "first" to implement in typical educational settings in your area. Or the team may discover that excellent help is available from a developer, purveyor, or expert Training or Technical Assistance, but that ongoing costs (Resource Availability) may be a concern.
4. We recommend that after reviewing information related to each factor, individually scoring each factor, summarizing ratings, and discussing the strengths and challenges related to each factor of the proposed intervention, that the team members decide on a process for arriving at consensus (for instance, private voting or round-robin opinions followed by public voting
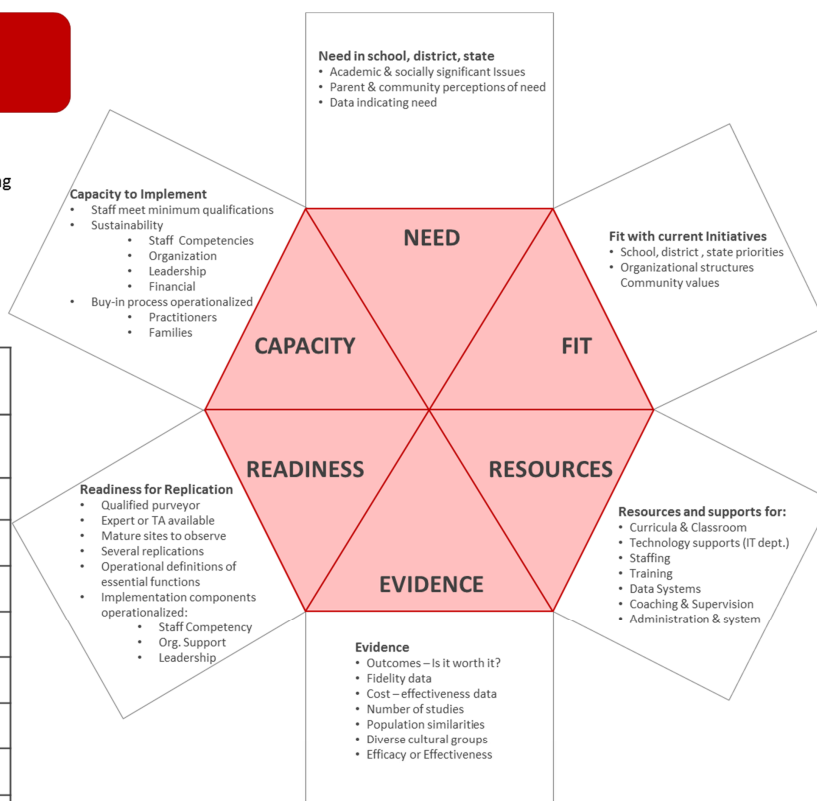
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[1] Usable Interventions - To be usable, it's necessary to have sufficient detail about an intervention. With detail, you can train educators to implement it with fidelity, replicate it across multiple settings and measure the use of the intervention. So, an intervention needs to be teachable, learnable, doable, and be readily assessed in practice.

The Hexagon Tool
Exploring Context

The Hexagon Tool can be used as a planning tool to evaluate evidence-based programs and practices during the Exploration Stage of Implementation.

See the Active Implementation Hub Resource Library
http://implementation.fpg.unc.edu

EBP:			

5 Point Rating Scale:
High = 5; Medium = 3; Low = 1.
Midpoints can be used and scored as a 2 or 4.

	High	Med	Low
Need			
Fit			
Resource Availability			
Evidence			
Readiness for Replication			
Capacity to Implement			
Total Score			

Need in school, district, state
- Academic & socially significant Issues
- Parent & community perceptions of need
- Data indicating need

Capacity to Implement
- Staff meet minimum qualifications
- Sustainability
    - Staff Competencies
    - Organization
    - Leadership
    - Financial
- Buy-in process operationalized
    - Practitioners
    - Families

Fit with current Initiatives
- School, district , state priorities
- Organizational structures
  Community values

Readiness for Replication
- Qualified purveyor
- Expert or TA available
- Mature sites to observe
- Several replications
- Operational definitions of essential functions
- Implementation components operationalized:
    - Staff Competency
    - Org. Support
    - Leadership

Resources and supports for:
- Curricula & Classroom
- Technology supports (IT dept.)
- Staffing
- Training
- Data Systems
- Coaching & Supervision
- Administration & system

Evidence
- Outcomes – Is it worth it?
- Fidelity data
- Cost – effectiveness data
- Number of studies
- Population similarities
- Diverse cultural groups
- Efficacy or Effectiveness

NEED

CAPACITY

FIT

READINESS

RESOURCES

EVIDENCE

Appendix B: Structured Interview Protocol

Structured Interview Protocol
Interview Question
1. Please share your thoughts about current inclusive educational practices in the state.
2. What areas of need exist in the state regarding inclusive educational practices?
3. How does the state prioritize needs?
4. What resources are available in the state to initiate and sustain implementation support for SWIFT?
5. What resources are available in the state to create capacity to expand and sustain SWIFT over time?
6. How will the state manage risks, issues and surprises that emerge as part of the implementation process (Practice-policy communication cycle)?
7. How do you see state level teams adapting/supporting adaptations to SWIFT to fit the context within the state while retaining the core features of SWIFT?
8. How do you see the state incorporating implementation investment in sustainability and local capacity at every stage of the process?
9. What teams exist at the practice, policy, and management levels?
10. How does communication occur across teams?
11. Is there consensus that a need exists for SWIFT implementation?
12. What value does the state place on the outcome of SWIFT and how is this evident?

Appendix C: Human Subjects Approval

APPROVAL OF PROTOCOL

February 14, 2014

Melinda Mitchiner
mmitchiner@ku.edu

Dear Melinda Mitchiner:

On 2/14/2014, the IRB reviewed the following submission:

Type of Review:	Initial Study
Title of Study:	Assessing Readiness for Change: Use of the Hexagon Tool for Decision-making to Assess State Readiness to Participate in Inclusive Schoolwide School Reform
Investigator:	Melinda Mitchiner
IRB ID:	STUDY00000815
Funding:	None
Grant ID:	None

The IRB approved the study on 2/14/2014.

1. Any significant change to the protocol requires a modification approval prior to altering the project.
2. Notify HSCL about any new investigators not named in original application. Note that new investigators must take the online tutorial at https://rgs.drupal.ku.edu/human_subjects_compliance_training.
3. Any injury to a subject because of the research procedure must be reported immediately.
4. When signed consent documents are required, the primary investigator must retain the signed consent documents for at least three years past completion of the research activity.

Please note university data security and handling requirements for your project:
https://documents.ku.edu/policies/IT/DataClassificationandHandlingProceduresGuide.htm

You must use the final, watermarked version of the consent form, available under the "Documents" tab in eCompliance.

Sincerely,

Stephanie Dyson Elms, MPA
IRB Administrator, KU Lawrence Campus

Human Subjects Committee Lawrence
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