Implementation Blueprint and Self-Assessment

Positive Behavioral Interventions and Supports

Technical Assistance Center on Positive Behavioral Interventions and Supports

U. S. Department of Education, Office of Special Education Programs

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Preface

The OSEP Center on Positive Behavioral Interventions and Supports (PBIS) is grateful to the students, educators, administrators, families, support providers, researchers, and teacher trainers who have worked tirelessly to improve educational outcomes for all students and who have contributed to our understanding of the critical practices and systems of positive behavior support.

These materials have been developed to assist local and state education agents in their efforts to improve school climate and positive behavior support for all students. Downloading single personal copies is permissible; however, photocopying multiple copies of these materials for sale is forbidden without expressed written permission by the OSEP Center for PBIS. To obtain a personal copy of these materials, download www.pbis.org.

Authority for and required use of the terminology “Positive Behavioral Interventions and Supports” (PBIS) was first indicated in the Individuals for Disabilities Education Act of 1996, and has been referenced in subsequent reauthorizations in 2000 and 2006. In this document PBIS is used as equivalent to “School-Wide Positive Behavior Support” (SWPBS), and “School-wide Positive Behavioral Interventions and Supports (SWPBIS).

The Center is supported by a grant from the Office of Special Education Programs US Department of Education (H326S03002). Opinions expressed herein are those of the authors and do not necessarily reflect the position of the US Department of Education, and such endorsements should not be inferred. For more information, contact Rob Horner (Robh@uoregon.edu) or George Sugai (George. sugai@uconn.edu).

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User's Quick Access Guide

This guide has been developed to direct users quickly to the appropriate section of the SWPBS Implementation Blueprint.

By answering a series of questions, users can go to (hyperlink) to the content section that is most relevant to your need:

How should this blueprint be used?	
Go To: "Introduction to the Blueprint?"	**Topics**: • Purpose • Users • Definition of Blueprint • Using the Blueprint
What is SWPBS?	
Go To: "Section 1: Overview of SWBS?"	**Topics**: • School Challenges • Addressing the Challenges • What is SWPBS? • Need for a SWPBS Blueprint • Systems Approach to SWPBS • SWPBS Characteristics
What are the basic elements of systems implementation?	
Go To: "Section 2: Implementation Foundations"	

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What is involved in the systems implementation of SWPBS?	
Go To: "Section 3: Implementing a Systems Approach to SWPBS"	**Topics:** • Context Considerations • Implementation Process and Continuous Regeneration • Capacity Building Goal • SWPBS Implementation Blueprint • SWPBS Blueprint Self-Assessment Features • SWPBS Self-Assessment Tool • SWPBS Action Planning Template

Introduction to the Blueprint

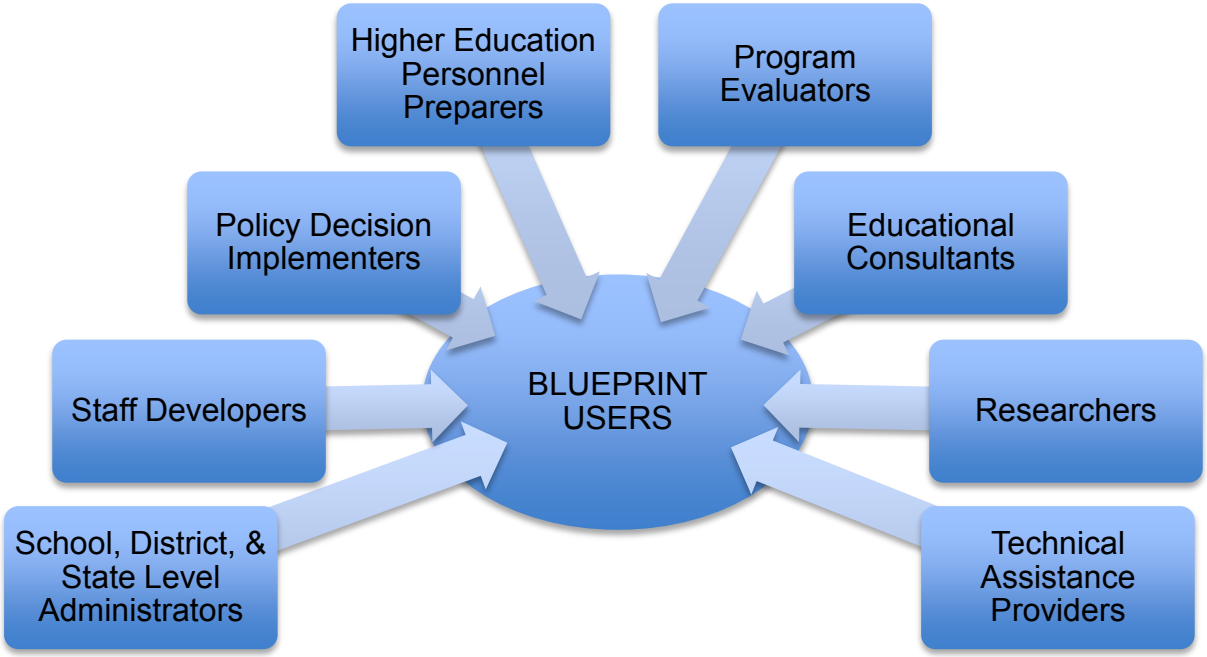
Purpose

The purpose of this blueprint is to give implementers of school-wide positive behavior supports (SWPBS) a systems framework for guiding their implementation efforts.

- Considering adoption of a SWPBS approach
- Planning for an initial SWPBS implementation
- Attempting to enhance the accuracy and durability of SWPBS implementation
- Considering expansion (scaling up) of SWPBS implementation

Users

The blueprint has been designed for a range of SWPBS users.



Definition of a Blueprint

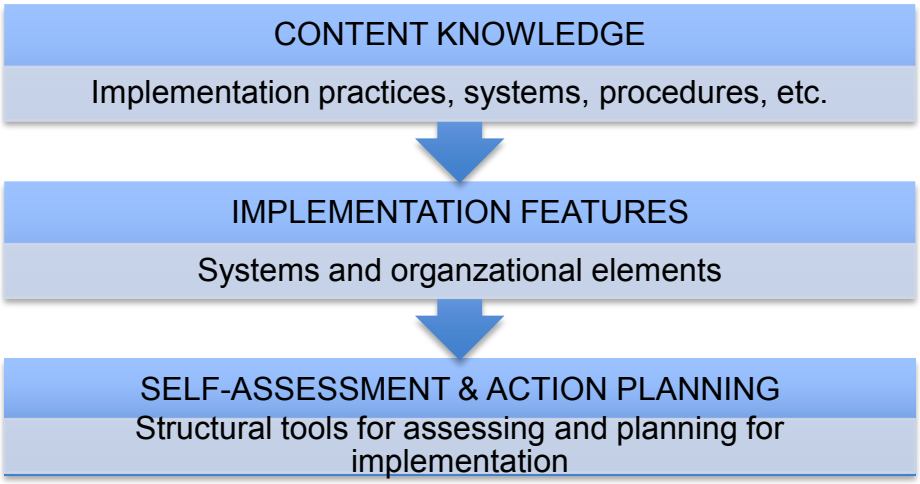
A "blueprint" is a **guide** designed to improve large-scale implementations of a specific systems or organizational approach, like SWPBS. This blueprint is intended to make the conceptual theory, organizational models, and practices of SWPBS more accessible for those involved in enhancing how schools, districts, and state education systems operate.

The contents of this blueprint should be considered **dynamic and iterative** in that guidelines will be improved as new implementations are tried and studied, and as new research is conducted.

Using the Blueprint

The organization of this blueprint emphasizes efficient and effective implementation. The contents of this blueprint should be viewed as a "guide" to SWPBS implementation rather than a "cookbook" of practices and systems.

This Implementation Blueprint has three basic kinds of information:



The SWPBS Implementation Blueprint is one three procedural and systems guides developed by the Center on PBIS (www.pbis.org) to facilitate the implementation of PBIS:

IMPLEMENTATION

- Guidelines to the procedures and process of general implementation of SWPBS approach or framework
- Emphasis on the general understanding SWPBS and systems level implementation for accuracy, durability, and scalability

EVALUATION

- Overview of the SWPBS data-based decision making questions, process, procedures, and tools
- Emphasis on the tools and prcedures required to answer relevant implementation and outcome questions for evaluation, research, and practice

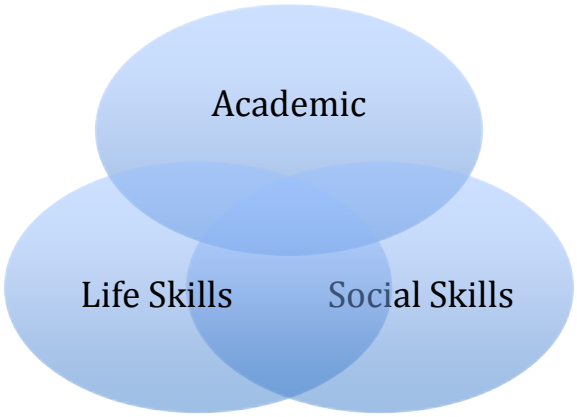
PROFESSIONAL DEVELOPMENT

- Overview of the SWPBS approach to preparing personnel and settings for the accurate, durable, and scalable implementation of SWPBS procedures, processes, and content.
- Emphasis on the logic, planning, curriculum, and overall implementation process

Section 1
Overview of SWPBS

What Challenges Do Schools Face in Attaining Their Education Mission?

The mission of schools is to maximize opportunities for students to achieve three primary and inter-related competence areas that enable participation, contributions, and success in schools and larger communities:



Achieving these competence expectations, however, is affected by many competing social and behavioral factors. Current data suggest that while extreme violence is stabilizing (and historically low), the rate of disruptive problem behavior is escalating (U.S. Surgeon General, 2000). The single most common request for assistance from teachers is related to behavior and classroom management (Elam, Rose, & Gallup, 1999).

Schools struggle with addressing problem behavior for a variety of reasons:

- Students are more different from each other than similar.
- Multiple initiatives overlap and compete for resources and priority.
- Fiscal resources are diminishing.
- School climates are reactive and controlling.
- School organizational structures and processes are inefficient and ineffective.
- Public demand is high for greater academic accountability and achievement.
- Occurrences of antisocial behavior in school are becoming increasingly severe and complex.
- Limited capacity exists to educate students with disabilities.
- Media that portrays role models are violent and antisocial.

School attempts to respond to these challenges often result in an over-reliance on the use of aversive and exclusionary consequences. For example, teachers respond to student displays of chronic problem behavior by increasing their use of verbal reprimands, exclusionary consequences (e.g., in school detention and out-of-school suspensions), and loss of privileges. If student behavior does not improve, school systems increase their reactive responses by establishing zero tolerance policies, increasing surveillance, posting security personnel, and excluding students from school.

This over-reliance on reactive management practices is predictable because teachers, parents, and administrators experience immediate reductions or removals of the problem behavior when they use strong aversive consequences. Therefore, having experienced reductions and relief from student problem behavior, they are more likely to use reactive management practices when future student problem behavior occurs. This situation is described by the classic principle of negative reinforcement. Unfortunately, these reductions are temporary and problem behaviors

typically reoccur, sometimes at higher rates and more intensive levels. Justification for the increased use of reactive management strategies is based on the erroneous assumptions that the student is "inherently bad," will "learn a 'better way' of behaving next time," and will "never again" engage in the problem behavior "having learned their lesson."

Although the use of aversive consequences can inhibit the occurrence of problem behavior in students who already are relatively successful at school, these procedures tend to be the least effective for students with the most severe problem behaviors. In addition, a number of negative side effects are associated with the exclusive use of reactive approaches to discipline (Shores, Jack, Gunter, Ellis, DeBriere&Wehby, 1993; Sugai& Horner, 1999; Sulzer-Azaroff& Mayer, 1994; Tolan& Guerra, 1994), for example, (a) problem behaviors get worse, (b) negative school climate is established, (c) relationships between teachers and students breakdown, and (d) academic achievement declines.

What is Needed to Address These Challenges?

The science of human behavior has taught us that students are not "born with bad behavior," and that they do not learn better ways of behaving when presented aversive consequences for their problem behaviors (Alberto & Troutman, 2001; Sulzer-Azaroff& Mayer, 1994; Walker et al., 1996). In addition, successfully addressing problem behavior requires an increased emphasis on proactive approaches in which expected and more socially acceptable behaviors are directly taught, regularly practiced in the natural environment, and followed by frequent positive reinforcement.

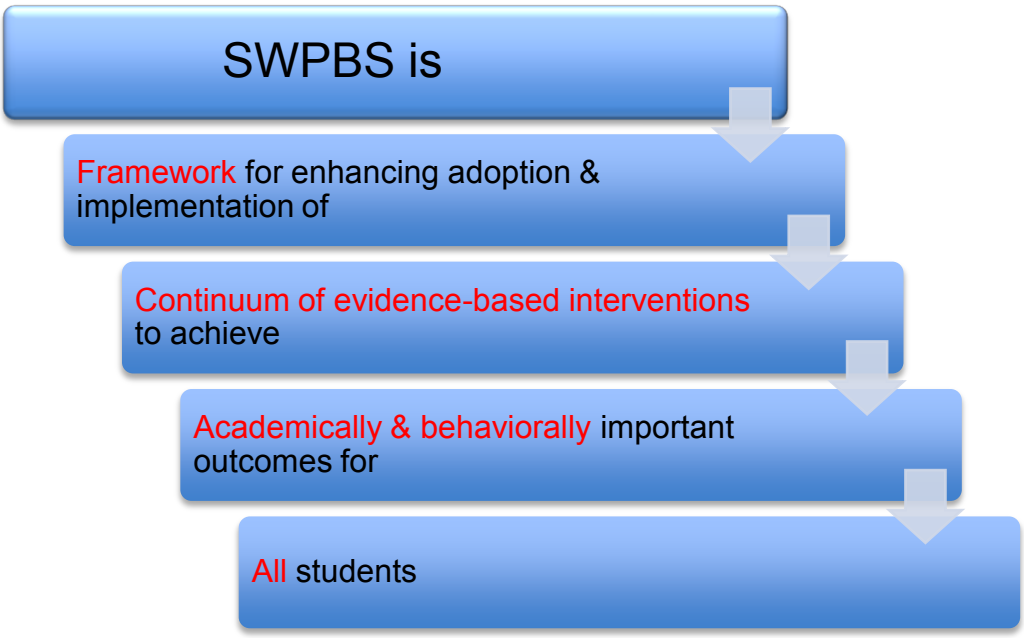
To shift from a reactive and aversive approach to managing problem behavior to one that is preventive and positive, schools, districts, and state departments must

- Work for & with all students, since every child entering school needs behavior support.
- Give priority to continua of empirically validated procedures & systems that have demonstrated effectiveness, efficiency, & relevance.
- Increase use of relevant & efficient data systems that directly answer most important questions for monitoring progress & enhancing practice & systems.
- Give high attention to accuracy, fluency, & relevance of how a practice or system is being implemented.
- Ensure that success & progress are reinforced positively & regularly.
- Integrate formally academic & behavioral success for all students.
- Emphasize prevention in establishing & maintaining safe & supportive school climates that promote & enhance academic achievement.
- Expand use of effective practices & systems to district, county, regional, & state levels by adopting formal implementation technologies & systems.
- Increase collaboration among multiple community support systems (i.e., education, juvenile justice, community mental health, family, & medical).
- Build school environment where team building problem solving skills are expected, taught, & reinforced.
- Plan for establishment of sustainable, knowledgeable, & fluent capacity at local level.

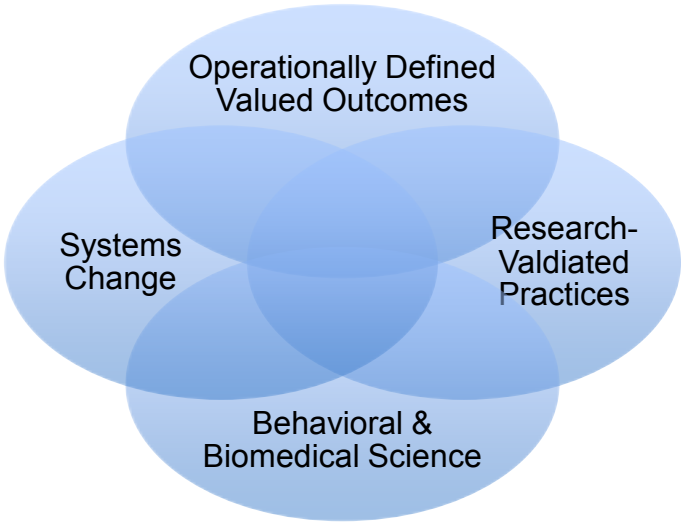
What is School-wide Positive Behavior Support?

School-wide Positive behavior support (SWPBS) is a **framework or approach** comprised of intervention practices and organizational systems for establishing the social culture, learning and teaching environment, and individual behavior supports needed to achieve academic and social success for all students.

SWPBS is not a specific "model" but a compilation of effective practices, interventions, and systems change strategies that have a long history of empirical support and development and individually have been demonstrated to be empirically effective. Decades of converging research have consistently demonstrated that these strategies are individually and collectively effective and efficient. In addition, SWPBS has relevant applications to educating all students in schools, not just students with disabilities.



SWPBS is the integration of **four elements:**

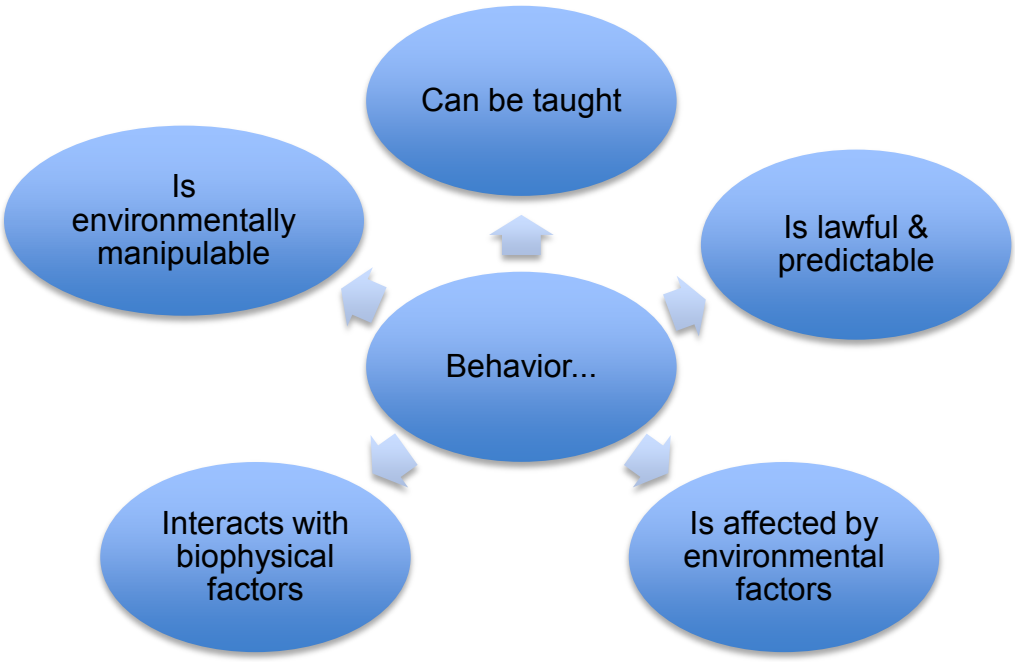


First, SWPBS emphasizes **operationally defined and valued outcomes** for all students. Specified academic and social behavior outcome indicators are linked to annual school improvement objectives, local and state initiative priorities, and individual academic goals and objectives. Data are used to describe, choose, and evaluate goals/outcomes. Characteristics and contingencies of the local culture and community are considered.

Valued outcomes include increases in quality of life as defined by a school's and/or individual student's unique preferences and needs and by positive lifestyle changes that increase social belonging. SWPBS has been demonstrated to be a feasible and valued approach for improving the social climate of schools and supporting intervention programming for students who are at high risk for problem behavior.

Second, SWPBS is based on clearly established **behavioral and biomedical sciences** that can be applied to address problem behavior in schools. In particular, consideration of the physiological and environmental factors is especially important when addressing the needs of students with significant behavioral, social, emotional, and mental health risks and issues.

In the following figure the major assumptions associated with adopting a behavioral and biomedical perspective for behavior are summarized.



Third, SWPBS emphasizes **research-validated practices**, interventions, strategies, curriculum, etc. to achieve goals and outcomes. Data are used to guide which practices should be selected and/or adapted to achieve goals/outcomes. The selection and use of evidence-based practices are given priority. Research validated refers to studies that directly and systematically examine whether a functional relationship exists between the accurate implementation of a practice and important changes in the behavior or performance of the recipients of the practice.

Fourth, SWPBS gives priority to **systems change** considerations that support the effective and efficient selection and implementation of practices by school personnel (e.g., teachers, school psychologists, administrators). These organizational working considerations operationalize policies and guiding principles, operating routines, resource supports, and administrative leadership. Internal behavioral expertise and capacity are developed, and data-based decision making is emphasized to improve the selection, adoption, outcomes, and durability of practices.

Why Develop This Blueprint on School-wide Positive Behavior Support?

Conceptually, SWPBS is appealing, and a growing research base supports SWPBS application at the individual student and school-wide levels (Horner &Sugai, 2008). The first real task is identifying what is required to enable schools to develop, expand, and sustain their SWPBS efforts.

This blueprint is intended to serve as a catalyst for prompting and promoting the accurate, durable, and expanded use of SWPBS for all students at the individual student, classroom, school-wide, district, regional, county, and state levels. In particular, this blueprint has been designed to address seven important assumptions and solutions about "going-to-scale" with SWPBS:

- Be implemented with high accuracy
- Be durable and sustained
- Be transportable and scalable
- Be deliverable by "typical intervention agents"
- Use child outcome and implementation fidelity data to guide decisions
- Reflect and fit the charactertistics of the local culture

What is a Systems Approach to the Implementation of School-wide Positive Behavior Support?

Commonly, when schools encounter a problem that cannot be solved by existing strategies and resources, an expert, typically from the "outside," is approached to provide technical assistance and training. An event is created to allow the expert to share and teach about ways to address the problem. The expert leaves, and the school is expected to implement the strategy. Borrowing a concept from Stokes and Baer (1977), this approach basically relies on a "train-and-hope" perspective:

This approach to problem solving is likely to fail because the focus is on the practice, and not on the systems supports (e.g., resources, training, policies) necessary to accurately implement, sustain, expand, and modify the practice over time. However, the approach is sustained because a temporary solution appears to address the solution, that is, implementer adoption is negatively reinforced and expert provider approach is positively reinforced.

A systems approach considers the school as the basic "unit of analysis" or "point of influence or action" and how the collective actions of individuals within the school contribute to how the school is characterized. Although important, individual students, parents, or adults are not the primary context for systems change. Horner (2003) indicates the following:

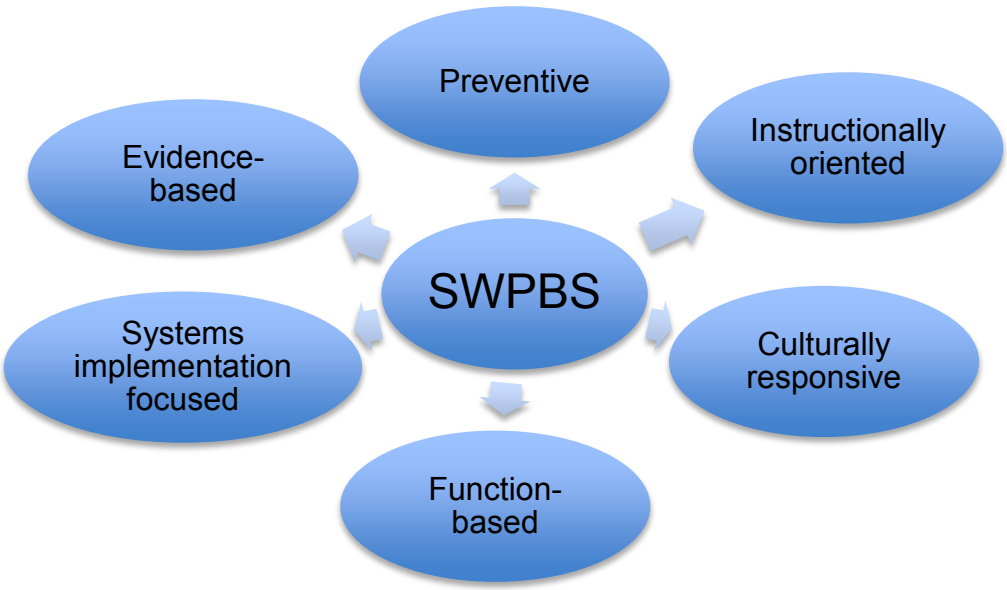
The organization does not behave, individuals within the organization engage in behaviors.

An organization is a group of individuals who behave together to achieve a common goal.

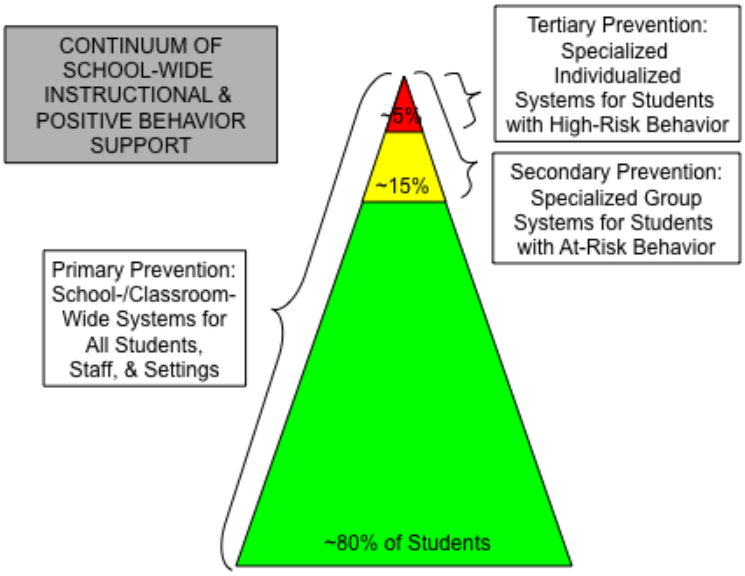
Systems are needed to support the collective use of best practices by individuals within the organization.

How Is SWPBS characterized?

SWPBS has six defining characteristics:



FIRST, SWPBS emphasizes a **preventive** perspective that is conceptualized within a multi-tiered logic. Specifically, a three-tiered approach has been adopted (Lewis &Sugai, 1999; Sugai et al., 2000; Walker et al., 1996).



Primary	• Preventing the development of new cases of problem behaviors for all students and staff, across all settings (i.e., school-wide, classroom, and nonclassroom settings).
Secondary	• Reducing the number of existing cases of problem behaviors by establishing efficient and rapid responses to problem behavior.
Tertiary	• Reducing the intensity and/or complexity of existing cases of problem behavior that are resistant to primary and secondary prevention efforts.

A preventive approach emphasizes the following guidelines:

- Removing antecedent or preceding factors that prompt, trigger, or occasion problem behavior & undesirable intervention practices.
- Adding antecedent or preceding factors that prompt, trigger, or occasion appropriate behavior & desirable intervention practices.
- Removing consequence or following factors that maintain & strengthen occurrences of problem behavior & undesirable intervention practices.
- Adding consequence or following factors that maintain & strengthen occurrences of appropriate behaviors & desirable intervention practices.
- Arranging environments so opportunities are maximized to teach & practice appropriate behavior & desirable intervention practices.
- Teaching social skills and adopting intervention strategies that are more effective, efficient, & relevant than problem behaviors & undesirable intervention practices.
- Removing consequence or following factors that inhibit or prevent occurrences of appropriate behaviors & use of desirable intervention practices.

SECOND, an **instructional perspective** is emphasized (Colvin, Sugai, & Patching, 1993; Kame'enui&Darch, 2004; Kerr & Nelson, 2002; Sugai, 1992) in which social skills are taught in the same way as academic skills, and the reduction of problem behaviors is addressed by teaching functional replacement behaviors.

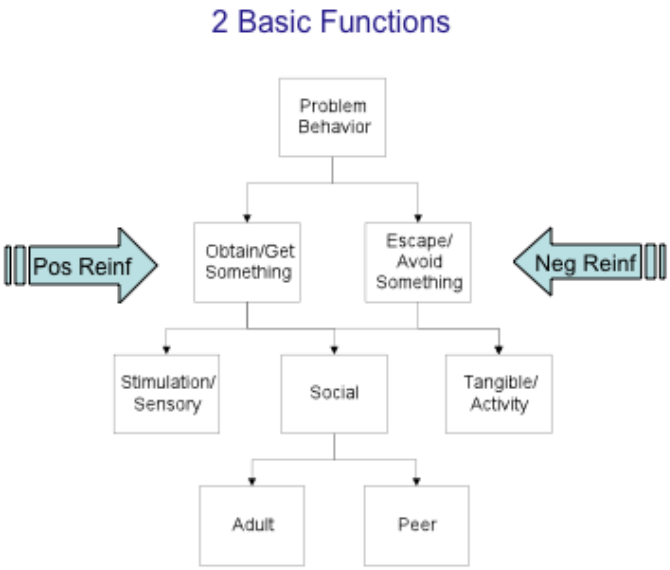
School- & classroom-wide	• Instruction is focused on defining, teaching, and encouraging expectations for all settings, students, & staff
For students who are at-risk of failure	• "Core" skills are taught, often within pre-defined curricula & more directly & frequently
For students who are high risk for failure	• Individualized, specific social skills are taught & reinforced based on functional behavioral assessments

THIRD, a **functional perspective** (Horner, 1994; O'Neill et al., 1997; Sugai, Lewis-Palmer, & Hagan-Burke, 1999-2000) is adopted in which the factors that maintain observed problem behaviors (positive and negative reinforcement) are used directly to build effective, efficient, and relevant behavior intervention plans.

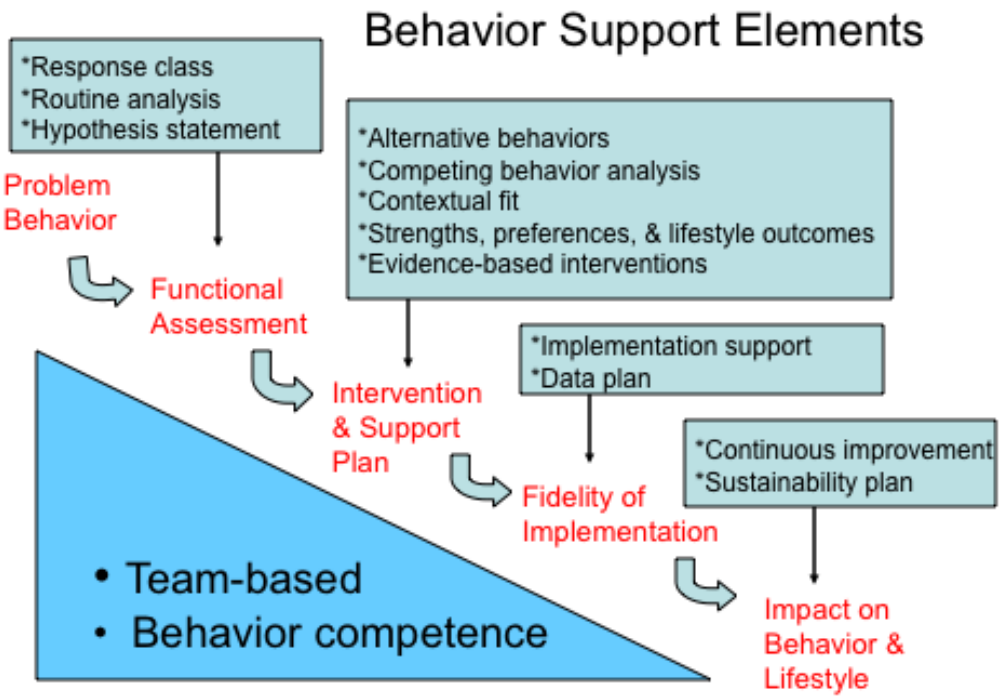
A function-based approach has the following features:

- Foundations in behavioral theory, applied behavior analysis, and positive behavior support
- Attention to environmental context
- Emphasis on "purpose" or function of behavior
- Focus on teaching behaviors
- Attention to implementers (adult behaviors) & redesign of teaching & learning environments

The notion of “function” is based on the behavioral principle of “reinforcement,” specifically, positive and negative reinforcement (Crone & Horner, 2003; O’Neill et al., 1997). Positive reinforcement is defined as the increased probability of a behavioral occurrence that is associated with the contingent presentation of a consequence stimulus (reinforcing). Negative reinforcement is defined as the increased probability of a behavioral occurrence that is associated with the contingent removal or withholding of a consequence stimulus (aversive). The following flowchart depicts how these two behavioral principles are operationalized from a function-based perspective:



A function-based approach is incorporated into behavioral intervention planning at the individual student level (Crone & Horner, 2003). The steps and elements, practices, and systems that comprise this approach are illustrated in the following figure:



Section 2
Implementation Foundations

The SWPBS Implementation Blueprint has been developed to support an organizational approach to implementation of evidence-based practices and systems. Although a systems perspective has been considered widely in other disciplines (e.g., medicine, public health, business), implementation science has not been applied to educational organizations (Fixsen&Blase, 2006).

However, in recent years, work at the National Implementation Research Network (www.nirn.org) has been applied more formally and systemically in education. In doing so, educational systems have become increasingly more aware of the importance of implementation fidelity, durability, sustainability, and scalability and greater emphasis has been placed on (a) leadership coordination (e.g., management and implementation teams, (b) implementation drivers (e.g., coaching, professional development, evaluation), (c) implementation phases (e.g., exploration to full implementation), and (d) practice and policy based decision making and planning (Fixsen&Blase, 2010, www.scalingup.org).

In this section, we provide an overview of guidelines that increase our attention on implementation science and SWPBS implementation.

Eleven considerations serve as the foundations for SWPBS implementation:

- Implementation is interactive and informing.
- Implementation involves stakeholders at multiple levels.
- Implementation occurs in phases.
- Sustainable implementation requires continuous regeneration.
- Implementation success is based on multiple criteria.
- Implementation selects scalable evidence-based practice.
- Practices must be implemented with integrity.
- Policy and practice inform each other.
- Implementation is systemic.
- Implementation decisions are based on responsiveness to intevention.
- Implementation is team-based, strategic, action planning process.

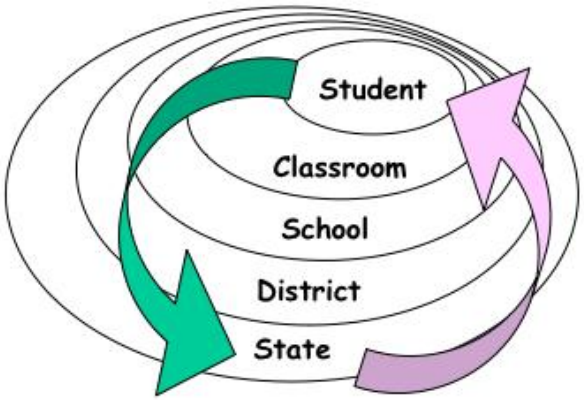
"Implementation is Interactive and Informing"

Effective implementation of an evidence-based practice requires four interactive elements that enable continuous monitoring, informed decision making, and continuous self-enhancement:

- **Outcomes**: academic and behavior targets that are endorsed and emphasized by students, families, and educators.
- **Practices**: interventions and strategies that are evidence based.
- **Data**: information that is used to identify status, need for change, and effects of interventions.
- **Systems**: supports that are needed to enable the accurate and durable implementation of the practices of SWPBS.

"Implementation Involves Stakeholders at Multiple Levels"

A systems approach to SWPBS considers multiple points of support:



Individual Student	• Intensive & individualized behavior intervention planning based on function-based behavior assessments & implementation for students who are unresponsive to school-wide (primary) interventions.
Classroom	• Expectations, routines, structures, & practices for presenting curriculum, designing instruction, & managing social climate of classroom environments that serves as basis for individual student behavior support planning.
School-wide	• Behavioral expectations & supports (i.e., proactive discipline) for all students & staff members, across all school settings that together serve as foundation for classroom & individual student behavior support.
District	• Specialized behavioral expertise, organizational leadership, & implementation resources that as unit serves as foundation for effective implementation.
Community	• Collaborative intervention & support efforts for students & families that involve mental health, public health, juvenile justice, & other community agencies & resources.
State	• Behavior support policy, organizational leadership, & resource management that collectively serve as foundation for district & school-wide implementation of SWPBS.

"Implementation Occurs in Phases"

Implementation is not a static process, but occurs in a sequence of phases or stages. Implementation action planning will depend on the implementation phase. Although these phases have been described in various ways, six measurable phases are common:

1. Exploration and Adoption

- Need, priority, agreements, resources, social marteting, & outcomes

2. Program Installation

- Preparation, resource assessment, structural supports, funding streams, policy development, & personnel realignment.

3. Initial Implementation

- Local adaptation & adoption, change in practice, attention to implementation with fidelity, outcome documentation, & visibility & demonstration.

4. Full Implementation

- Complete, accepted, accurate, & effective local implementation of practices with leadership supports, local practice expertise, trained staffing, efficient procedures, & documented outcomes.

5. Innovation & Sustainability

- Systems level adoption & implementation, institutional policy, implementation capacity, data-based evaluation & action planning, durability, planned scale-up, progress monitoring, & efficiency integrations & adaptations.

Phase	Description
1. Exploration &Adoption	Emphasis is on the assessment of the potential match between community needs, evidence-based practice and program needs, and community resources and to make a decision to proceed (or not)" (Fixsen et al., 2006; p. 15). Composed of three basic operations: (a) documentation of need or problem to be addressed and outcome to be achieved, (b) identification of core elements of an evidence-based practice, (c) consideration of the features of the practice that fit and do not fit current needs and capacity (resources, expertise).
2. Installation	The emphasis is on the preparation for initial implementation of an evidence-based practice. Preparation consists of (a) identifying funding streams, (b) conducting audits and reorganizing of current resource uses, (b) developing strategies for personnel utilization, (c) developing supporting policy, (d) developing descriptions of operational procedures, (e) establishing professional development activities, and (f) estimating start-up costs.
3. Initial Implementation	The emphasis is on establishing full implementation of the practice in a subsection of the larger organization. Change in practice, organization, and functions may be required with a priority on effectiveness, efficiency, and relevance. The goal is to show how existing resources can be applied to the implementation of the practice by real implementers and to document whether accurate use and desired outcomes are achievable. Specification of practice-related evaluation questions, meaningful measures, and efficient data collection procedures occurs at the demonstration phase.

4. Full Operation	The objective is to expand accurate implementation of the practice and demonstrate that durable outcomes can be replicated across sites within the organization. Factors that would affect accurate and sustained implementation, cost-effective resource management and administration, and controlled expansion to the whole organization are assessed and evaluated. If other practices or initiatives with similar desired outcomes exist, feasibility of integrating or eliminating overlapping and ineffective efforts is considered. The objective during this phase is local demonstration of a practice such that all roles, responsibilities, functions, organizational structures are in place and functioning effectively and efficiently. Important considerations include integration with other initiatives with similar outcome goals, complete staffing supports, establishment of practice expertise and fluency, efficient operational procedures, administrative structures for leadership and coordinated implementation, and data collection and evaluation procedures for formative decision making. Documentation of implementation features, procedures, and outcomes is important for ensuring visibility and securing political support.

4. Innovation & Sustainability	The focus is on developing policy, recurring funding, coordinating implementation leadership at the organizational level, and establishing sustainable and local implementation capacity. Efforts are focused on institutionalizing the implementation of the practice or initiative with a particular emphasis on continuous regeneration and enhancement such that sustainable and efficient economies of scale are achieved. Sustainable outcomes and controlled presentation are possible through systems of continuous regeneration if *priority* is given to valued student and school outcomes, *efficacious* evidence-based practices are shown to be functionally related to these valued outcomes and adapted to the features of the local context, *relevance* is demonstrated through continuous self-assessment and evaluation, and *fidelity* of practice implementation is maximized. Careful and regular consideration of evaluation questions is important to document the impact of implementation. Within this phase, the greater the diversity or variation in the features of the organization, the greater the likelihood that the intervention or practice may not be as useful or effective as replication is attempted (McLaughlin &Mitra, 2001). Variations in cultural norms, environmental features, economic conditions, and policy adherence will require greater attention to adaptation and fine tuning of the organization implementation supports (Menter et al., 2004). In schools, Payne, Gottfredson, and Gottfredson (2006) document that implementation fidelity of prevention interventions was related to “local program development process, integration into school operations, organizational capacity, principal support, and standardization” (p. 225).

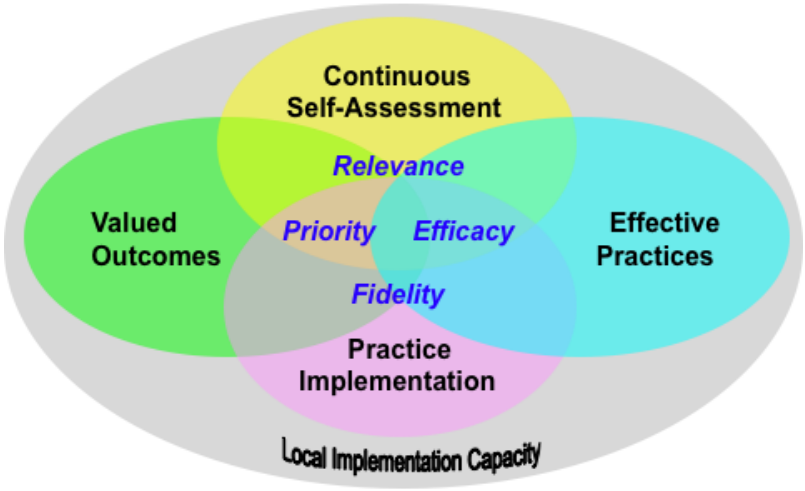
"Sustainable Implementation Requires Continuous Regeneration"

This five-phase implementation logic is not just about increasing the number of schools or units who adopt and implement a practice. Elaboration and systems adoption (scaling up) are about "managing projects to ensure that positive impact is maximized" (Menter et al., 2004, p. 9). The complexity and multidimensionality of the process increases with scaling up: "A context-focused approach to scale up combines a commitment to establishing an evidence base on the effectiveness of interventions, with the recognition that powerful environmental influences mean that 'proven' intervention must be implemented with a combination of fidelity and appropriate flexibility" (McDonald, Keesler, Kauffman, & Schneider, 2006, p. 17).

Successful systems change efforts go beyond simple knowledge dissemination to focus on continuous regeneration. Continuous regeneration is the iterative assessment of implementation fidelity and service outcomes within a planning process intended to enhance the sustained implementation and adaptation of a practice so that valued outcomes continue to be achieved effectively and economically (Han & Weiss, 2005; McLaughlin &Mitra, 2001). The goal is to establish capacity for the organization to "adapt knowledge and innovations to the conditions of different end-users" (Menter et al., 2004, p. 16). McDonald et al. (2006) indicate that "it may be necessary to tailor an idea, product, process, or solution that 'works' in order to achieve consistently reliable results" (p. 16).

Thus, this process begins with a consideration of four foundational elements: (a) **ongoing measurement** through external or self-assessment to ensure that a practice can be adapted to the implementation context (relevance); (b) **valued outcomes,** which have been determined to be socially and educationally important (priority); (c) **evidence-based interventions** proven to be effective in achieving valued outcomes (efficacy); and (d) supports for **accurate practice implementation** (fidelity). Continuous regeneration involves one or more of the following emphases: reinvestment in maintaining existing procedures, improving the efficiency of current practices or in response to changing contexts, replacing ineffective practices with more effective ones, reallocating resources to support identification and implementation of new practices, and/or increasing capacity to expand practices to additional and similar implementation contexts.

Implementation efforts must be responsive to a variety of organizational factors, for example, resource availability, new initiatives or needs, fluctuations in data outcomes, accuracy of implementation, personnel changes, etc. The goal for sustainable organizationis to establish local implementation capacity that emphasizes (a) outcomes that are valued by stakeholders, (b) proven evidenced-based practices, (c) relevant data and local norms, and (d) accurate and fluent implementation. The following figure illustrations the relationship among the four elements and the goal to achieve implementation capacity that has priority, efficiency, relevance, and fidelity.



"Implementation Success Is Based on Multiple Criteria"

Efforts to monitor progress, evaluate implementation, and measure success should be guided by the following criteria characteristics:

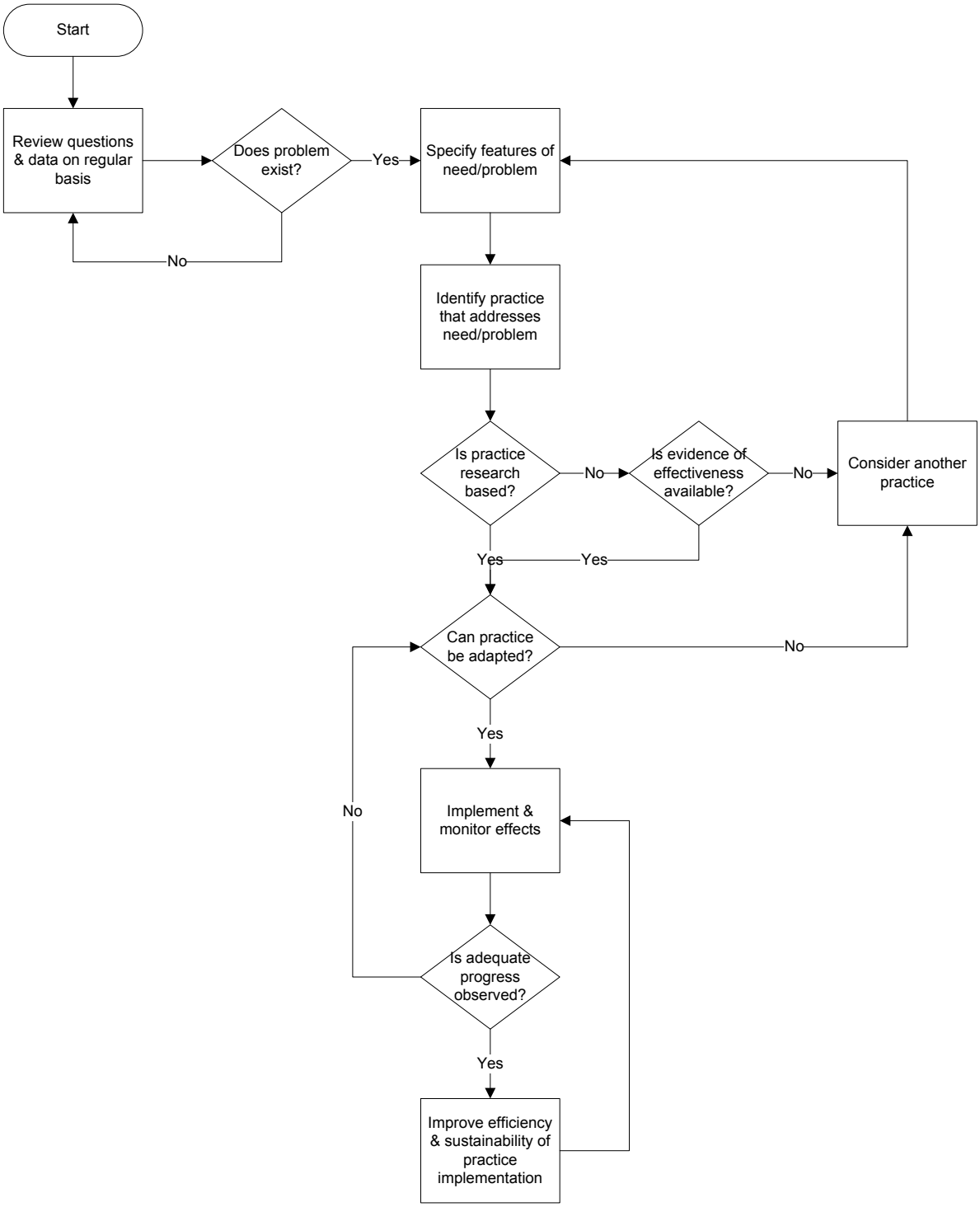
EFFECTIVENESS	• Desired outcomes documented
EFFICIENCY	• Doable by local implementers
RELEVANCE	• Culturally & contextually appropriate
SUSTAINABILITY	• Lasting implementation & durable outcomes
SCALABILITY	• Transportable & generalizable
DEFENDA BLE	• Conceptually sound & theoretically logical

"Implementation is Based on Selection of Scalable Evidence-based Practice"

To maximize student outcomes, every effort must be made to select a practice that is evidence based. "Evidence-based" refers to multiple data source questions that are used to finalize an adoption decision (adapted from Horner, 2009):

- Has a convincing functional relationship been documented experimentally between the practice and the desired outcome?
- Has the effectiveness of the practice been replicated across similar populations and contexts?
- Has the practice been implemented effectively, accurately, efficiently, and durably by real or local users?
- Does the practice have sufficient scope to affect multiple educational outcomes?
- Are measurable benchmarks specified to assess student outcomes?
- Do local implementers consider the practice to have high social and educational acceptability and value?
- Is the practice described with sufficient detail for high implementation accuracy and fluency?
- Are systems specified for quality professional development and sustained and scalable implementation?

The following flowchart illustrates the dynamic nature of practice selection, adaptation, implementation, and evaluation.


Start
Review questions & data on regular basis
Does problem exist?
Yes
No
Specify features of need/problem
Identify practice that addresses need/problem
Is practice research based?
No
Is evidence of effectiveness available?
No
Consider another practice
Yes
Yes
Can practice be adapted?
No
Yes
No
Implement & monitor effects
Is adequate progress observed?
Yes
Improve efficiency & sustainability of practice implementation

"Practices Must be Implemented with Integrity"

The promised or expected outcomes of evidence-based practices will not be achieved if the practice is not implemented with integrity.

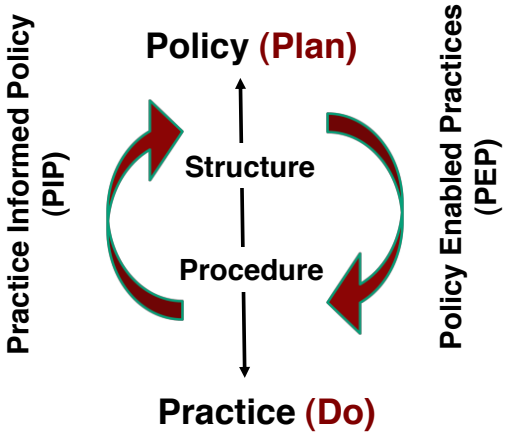
> *"Treatment integrity is the extent to which essential intervention components are delivered in a comprehensive and consistent manner by an interventionist trained to deliver the intervention"*
>
> Sanetti&Kratochwill, in press.

The following implementation integrity questions (adapted from Sanetti&Kratochwill, in press) should be considered:

- Is practice being implemented as designed and tested by developers?
- Are individual practice components emphasized and implemented as recommended by developers?
- Can practice be modified based on local data and context without affecting intended outcomes as recommended by developers?
- Are procedures and tools available for assessing implementation integrity by developers?
- Are implementation ceilings and/or floors for maximizing practice outcomes recommended by the developers?
- Can implementation adaptation or change be made without affecting outcomes described by developers?
- Are procedures for implementers to receive performance implementation feedback (e.g., verbal, written, or graphic information and data) on regular basis provided by developers?
- Are adaptations for accommodating context factors (e.g., language, cultural/ethnic customs, community values) suggested by the developer?

"Policy and Practice Inform Each Other"

Procedures that operationalize the working relationship between policy and practice are fundamental components of systems change. Policy represents the plan or structure that enables practice. In turn, practice outcomes (integrity and learner performance) inform policy structures. Fixsen et al. (2005) describe this as the "PEP/PIP Cycle" where structures and procedures create opportunities for *Policy to Enable Practice (PEP)* which in turn *Informs Policy (PIP).* The following graphic illustrates this data-based problem-solving and continuous regeneration process.



"Implementation is Systemic"

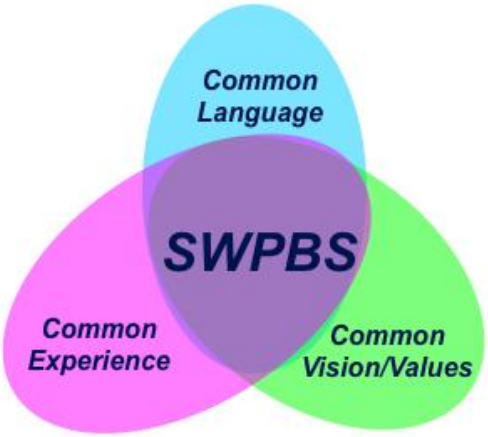
Asystems implementation perspective (Latham, 1988; Sugai et al., 2000; Zins& Ponte, 1990) is emphasized in SWPBS.

Practical applications in which implementation is based on the smallest change that will result in the largest impact.

Multiple approaches to ensure the correct approach for the defined problem.

On-going collection and use of data because conditions continuously change and affect the status and best use of resources.

The outcome of an effective systems approach is an organization (school, district, state education agency) that has three basic features (Gilbert, 1978; Horner, 2003):



Common Vision	• The organization has a mission, purpose, or goal that is embraced by the majority of members of the organization and serves as the basis for decision making and action planning.
Common Language	• The organization establishes a means of describing its vision, actions, and operations so that communications are informative, efficient, effective, and relevant to members of the organization.
Common Experience	• The organization is defined by a set of actions, routines, procedures, or operations that is universally practiced and experienced by all members of the organization and that also includes a data feedback system to link activities to outcomes.

Thus, instead of engaging in “train-n-hope” efforts, the SWPBS approach gives priority to problem solving and action planning that emphasizes accurate, durable, and expanded implementation:

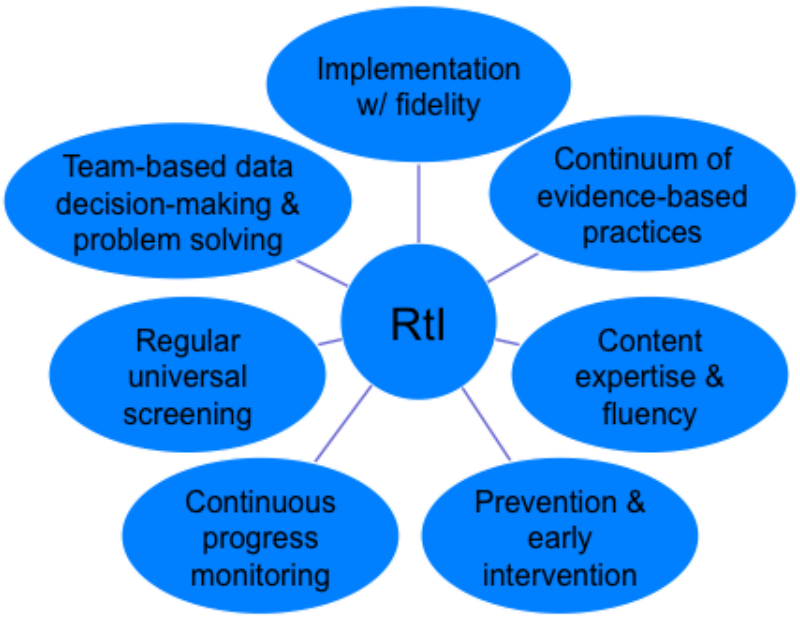
- Establish a visible, effective, efficient, and functional leadership team.
- Review existing information/data.
- Analyze, describe, and prioritize issue within context..
- Specify measurable outcome that is related directly to issue and context..
- Select evidence-based practice to achieve specified outcome.
- Provide supports for accurate sustained adoption and implementation of practice.
- Monitor practice implementation and progress toward outcome.
- Modify practice implementation based on analysis of progress data.

"Implementation Decisions Are Based on Student Responsiveness to Intervention"

Student responsiveness to interventions is one of our best sources of information for making intervention implementation decisions. "Responsiveness-to-Intervention" (RtI) is an approach for establishing and redesigning teaching and learning environments so that they are effective, efficient, relevant, and durable for all students, families, and educators.

RtI is an "over-arching" framework and logic for organizing and increasing the efficiency with which evidence-based practices are selected, organized, integrated, implemented, and adapted. SWPBS is an example of RtI implementation with an emphasis on the school-wide social behavior curriculum of classrooms and schools. In the following table, each RtI feature is defined and a corresponding SWPBS example is provided

Specifically, RTI is shaped by seven defining characteristics[1]:



[1]Brown-Chidsey&Steege, 2005; Christ, Burns, &Ysseldyke, 2005; Fuchs &Deschler, 2007; Fuchs & Fuchs, 2007; Fuchs, Mock, Morgan, & Young, 2003; Gresham, 2005; Gresham et al., 2005; Kame'enui, 2007; National Association of State Directors of Special Education, 2006; Severson, Walker, Hope-Doolittle, Kratochwill, & Gresham, 2007; Sugai, 2007

RtI Feature	Description	SWPBS Example
Universal screening	Learner performance and progress are reviewed on a regular basis and in a systematic manner to identify students who are (a) making adequate progress, (b) at some risk of failure if not provided extra assistance, or (c) at high risk of failure if not provided specialized supports.	Monthly behavior data relating to rule violating behavior (e.g., office discipline referrals), disciplinary consequences (e.g., in or out of school suspensions), attendance and tardiness, low academic performance, etc. are reviewed by school leadership team, behavior specialists, and individual classroom teachers to determine percent of students whose behaviors are responsive to the primary tier interventions. Students whose behaviors are not responsive are considered for secondary or tertiary tier interventions and supports.
Data-based decision making and problem solving	Information that directly reflects student learning based on measurable and relevant learning criteria and outcomes are used to guide decisions regarding instructional effectiveness, student responsiveness, and intervention adaptations and modifications.	Data collected at each intervention tier (see above) are used to guide action plan decision making, for example, primary intervention data are used to address questions about student behavior responsiveness at multiple levels (i.e., school-wide, classroom, nonclassroom, and individual student). In addition, student behavior support teams review behavioral progress and incident reports bi-weekly of students who are receiving secondary and/or tertiary intervention tier supports, and make appropriate adjustments.
Continuous progress monitoring	Student progress is assessed on a frequent and regular basis to identify adequate or inadequate growth trends and support timely instructional decisions.	Student behavior responsiveness is reviewed (a) monthly, quarterly, and annually at the primary intervention tier; (b) weekly or bi-weekly and monthly at the secondary intervention tier; and (c) daily, weekly, and monthly at the tertiary intervention tier.

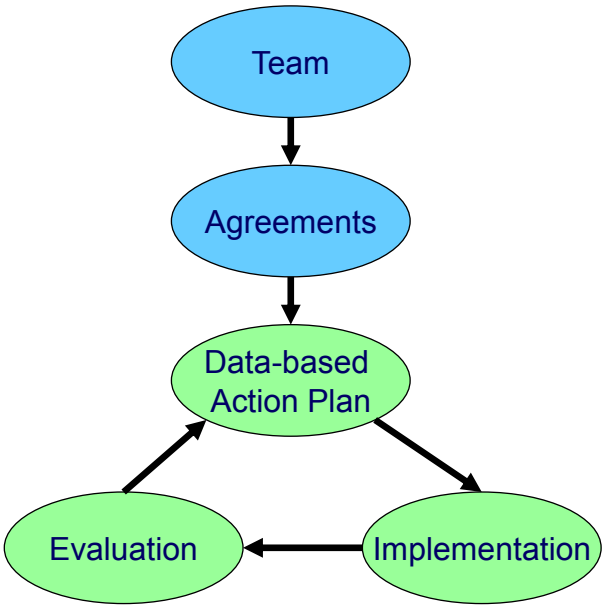
Prevention and Early Intervention	Priority is given to preventing the development of student performance failure by teaching desired skills early in the instructional curriculum, teaching directly and early in situations where learning errors have been observed in the past, and strengthening alternative skills that can be substituted for and compete with chronic errors.	At the beginning of the school year, a small set of positively stated school-wide behavioral expectations are taught to all students. In addition, specific behavioral routines are taught in typically problem settings (e.g., hallways, cafeteria, bus, assemblies, sporting events).

Continuum of evidence-based interventions	An integrated and sequenced curriculum is established such that a (a) core curriculum is provided for all students, (b) modification of this core is arranged for students who are identified as nonresponsive, and (c) specialized and intensive curriculum is developed for students whose performance is deemed nonresponsive to the modified core. Elements of this continuum must have empirical evidence to support *efficacy* (intervention is linked to outcome), *effectiveness* (intervention outcomes are achievable and replicable in applied settings), *relevant* (intervention can be implemented by natural implementers and with high fidelity), and *durable* (intervention implementation is sustainable and student outcomes are durable).	A school-wide behavior intervention and supports continuum is multi-tiered: (a) primary tier for all students (e.g., school-wide behavioral expectations, positive reinforcement, parental involvement, proactive discipline), (b) secondary tier for students whose behaviors are not responsive to primary tier (e.g., check in-check out, targeted social skills instructional groups, behavioral contracting, social skills club), and (c) tertiary tier for students whose behaviors are unresponsive to primary and/or secondary tier (e.g., function-based support, wraparound/person-centered planning, targeted social skills instruction).
Implementation integrity	Team-based structures and procedures are in place to ensure and coordinate appropriate adoption and accurate and sustained implementation of the full continuum of intervention practices.	On a yearly basis, the *School-wide Evaluation Tool* and the *Benchmarks of Quality* are administered to determine the extent to which primary tier interventions are being implemented accurately and consistently. Each month, the *Team Implementation Checklist* is completed by the school leadership team to monitor and prompt regular monthly events (e.g., meetings, data review, staff reports).

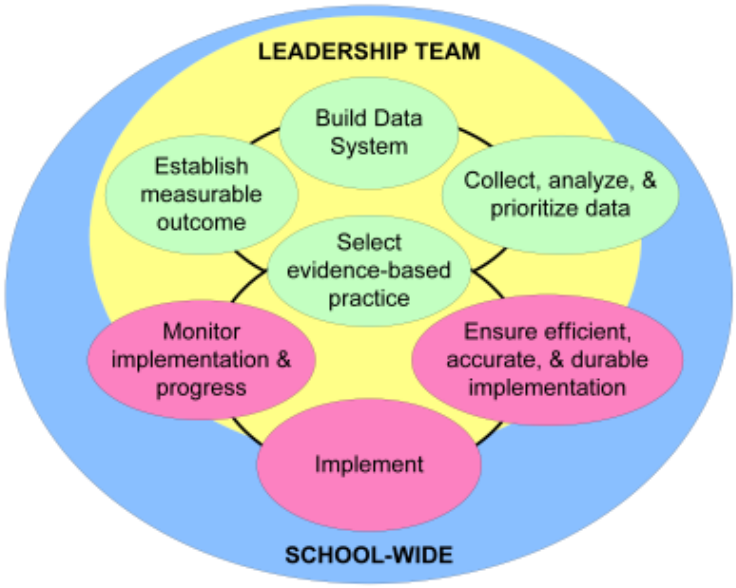
Content Expertise and Fluency	Local interventionists, coaches, and trainers have high levels of content knowledge, fluency, and experience to support their implementation efforts.	To ensure that SWPBS implementation is accurate, effective, efficient, and relevant for implementers, content expertise is required and related to all interventions that define the SWPBS continuum of interventions. This expertise extends beyond evidence-based practices, and includes data-based decision making, outcome development and tracking, and systems to support implementation. Content expertise is especially important within the secondary and tertiary interventions tiers.

"Implementation is Team-based, Strategic Action Planning Process"

The SWPBS approach adopts a continuous, data-driven, multi-component, multi-year organizational approach. The features of the general team based implementation process are summarized in the following:



In the following figure, the relative relationship of the roles and responsibilities of the school leadership team (yellow) and the school staff as a whole (blue) are illustrated. In particular, major coordination activities (green) and implementation functions (pink) are linked to leadership team and school staff.



When engaged in the general SWPBS implementation steps, consider the following guidelines for each of the SWPBS implementation elements:

Guidelines		
Form Team	Yes No ?	1. Adequate representation
	Yes No ?	2. Active administrator membership and involvement
	Yes No ?	3. Efficient means for communications within team and with faculty as a whole
	Yes No ?	4. Capacity for on-going data-based decision making
	Yes No ?	5. Priority and status among committees and initiatives
	Yes No ?	6. Behavioral capacity on team
Establish Agreements	Yes No ?	7. Commitment to 3-4 years of priority implementation
	Yes No ?	8. Use of 3-tiered prevention logic and continuum
	Yes No ?	9. Administrator participation and membership
	Yes No ?	10. On-going coaching and facilitation supports
	Yes No ?	11. Dedicated resources and time
	Yes No ?	12. Agreement about operating procedures for roles, agenda, meeting times, action planning, etc.
	Yes No ?	13. Top three school-wide initiatives based on need

Data-based Action Plan	Yes No ?	14. Regular self-assessment
	Yes No ?	15. Review and use of existing discipline data
	Yes No ?	16. Multiple subsystems of evidence-based behavioral interventions
	Yes No ?	17. Team-based decision making and action planning
	Yes No ?	18. Efficient system of data input, storage, and summarization
Develop Procedures and Supports for Implementation Action Plan with Fidelity and Durability	Yes No ?	19. Emphasis on evidence based practices and interventions
	Yes No ?	20. Active administrator participation
	Yes No ?	21. Continuous staff involvement in planning
	Yes No ?	22. Efficient and effective support for staff training and implementation
	Yes No ?	23. Continuous monitoring of fidelity of implementation and progress
	Yes No ?	24. Regular and effective staff acknowledgements for participation and accomplishments
	Yes No ?	25. Team coordinated and managed implementation
Continuous Evaluation Fidelity of Implementation and Outcome Progress	Yes No ?	26. Team- and data-based decision making and planning
	Yes No ?	27. Relevant and measurable outcome indicators
	Yes No ?	28. Efficient input, storage, and retrieval of data
	Yes No ?	29. Effective, efficient, and informative visual displays
	Yes No ?	30. Regular data review
	Yes No ?	31. Continuous monitoring of fidelity of implementation and progress

Basic Action Planning

Action planning is a process of organizing and using resources to enable individuals to engage in activities designed to achieve specific and important outcomes. The process is guided by the following principles:

- Align with district goals
- Focus on measurable outcomes
- Base and adjust decisions on data and local context characteristics
- Give priority to evidence based practices
- Invest in building sustainable implementation supports
- Formalize assessment of implementation integrity

The action planning process can be facilitated by considering the following questions and planning examples:

Facilitating Questions	
Question	**Notes**
1. What need (problem, issue, concern, etc.) are we trying to address?	
2. What evidence do we have to confirm, understand, characterize, etc. the need?	
3. What factors seem to be contributing to the need?	
4. How high of a priority is addressing this need?	
5. What would the solution (data, strategy, policy, etc.) look like to address the need?	
6. What existing activities also are addressing this need?	

7. What would we see if we have been successful in addressing this need in 3 months, 1 year, 2 years, etc.?	
8. What would a 1-3 year action plan look like to address this need?	
9. What factors ($, roadblocks, agreements, capacity, leadership, etc.) need to be considered to support and maximize the successful implementation of this action plan?	

Generic Action Planning Worksheet – Example #1				
Action Plan Outcome (measurable, achievable, priority): **Due Date:**				
Activity	**Persons**	**Due**	**Outcome**	**Notes**
1.				

GENERAL PLANNING WORKSHEET – Example #2			
Planning Questions	**Planning**		
1. What did we propose to accomplish?			
2. What have we done so far? Data?			
3. How much have we accomplished? Are we satisfied?			
4. What do we need to accomplish next?			
5. What do we need to do next?	**What**	**Who**	**When**
	•		
	•		
	•		
	•		
	•		
	•		
	•		
	•		

Section 3

Implementing a Systems Approach to School-wide Positive Behavior Support

Context Considerations

In this section of the blueprint, the features and processes for implementing a systems approach to school-wide positive behavior support are described. Although the number of participating schools (e.g., 10, 50, 250, 500, 1000) within an effort may vary, typically, four general organizational levels of implementation are considered.

School	• Individual school organization characterized typically by a group of teachers and support staff led by single administrative team or principal
District	• Single group of multiple schools defined by a common geographic, political, and/or fiscal vision and organizational structure
Regional	• Collection of schools and/or districts organized geographically or politically to enhance administration and operational management (e.g., educational service district, educational service cooperative, area educational district)
State	• Multiple groups of multiple schools organized under a common geographical, political, and/or fiscal vision and organizational structure

In general, although SWPBS implementation at the school, district, regional and state levels share a common set of features, details of each feature are likely to vary depending upon contextual characteristics. The SWPBS implementation activities and structures vary in a number of ways, including, but not limited to the following:

- **Size or Number:** 35 versus 2100 students, 4 versus 450 staff members, 3 schools versus 250 schools.
- **Location:** urban versus rural versus suburban.
- **Community or Neighborhood**: low versus high social economic status.
- **Population Demographics**: ethnicity, culture, business, density, etc.

To the greatest extent possible, content is presented in outline and list formats to organize and facilitate access. Checklists are provided to enable self-assessment and/or self-monitoring of implementation. Finally, where appropriate, resources for obtaining further information are noted.

Implementation Process and Continuous Regeneration[2]

Establishment of a SWPBS approach must look beyond the school as the minimum unit of implementation and formalize efforts at larger administrative units; that is, district, state, and national levels, which requires adoption of a formal systems-level perspective. Emphasis is on a **sound theoretical foundation**, **measurable valued outcomes**, **adoption and sustained use of evidence-based practices**, **principles of organizational change** guiding the process, and **data-based decision-making models** in use for c**ontinuous enhancements and regenerations** (Gilbert, 1978; Gilbert & Gilbert, 1992; McIntosh, Horner, &Sugai, 2007**.**

An emphasis on sustaining and enhancing implementation of SWPBS at the district, state, and national levels requires a focus shift from individual school implementation to organizational management and systems change. This shift is associated with concepts and terms that are less familiar to educators. Some of these key terms are listed and defined in the following table:

[2] Content in this section is based on and/or taken directly from Sugai, Horner, & McIntosh (2008).

Common Terms in Organizational Management and Systems Change

Term	Definition
Practice	Intervention, curriculum, procedure, etc., that has demonstrated efficacy in achieving defined outcomes within a system.
System	The organizational structures and procedures for establishing outcome measures (e.g., academic achievement, social competence), resource allocation (e.g., funding, staff training, and distribution of staff time), and resource coordination (e.g., staff meeting schedules, assignment of responsibility and authority, reporting to school board).
Organization	Collection of individuals who engage in behaviors that reflect a commonpurpose or goal, language, and experience (e.g., department, individual school, school district, state department of education).
Sustainability	Lasting, data-driven, long-term implementation of a practice at a level of fidelity that continues to produce valued outcomes (Han & Weiss, 2005).
Durability	Lasting outcomes that are the result of sustained implementation of a practice (e.g., reading achievement, school climate/safety).
Expansion or going-to-scale	Adoption and adapted implementation of a practice or process that has been demonstrated to be effective to other nonimplementing members or units of an organization (e.g., schools within a district, districts within a region, districts within a state, states within regions or countries). Results in “more quality benefits to more people over a wider geographic area more quickly, more equitably, and more lastingly” (Menter, Kaarai, Johnson, & Ashby, 2004, p. 10).
Policy	Institutionalized descriptions of outcomes, procedural guidelines, rules, etc., that define the accurate and accountable implementation of practices and systems.
Continuous Regeneration	Iterative assessment of implementation fidelity and service outcomes within a planning process intended to enhance the sustained implementation and adaptation of a practice so that valued outcomes continue to be achieved.

Capacity Building Goal

The **goal of systemic SWPBS implementation efforts** is to achieve effective school-wide behavior support for all members of a school community. This goal is realized by considering the **whole school** as the main implementation unit. In particular, all students and all staff are involved across all settings of the school. More specifically, school reform has three defining elements:

School Reform and Systems Change Efforts Are		
Planned **system actions** intended to….	Enhance **implementation capacities** that….	Maximize **performance outcomes** for **all** students.
• *Professional development* • *Personnel preparation* • *Organizational change* • *Evaluation* • *Leadership* • *Coordination* • *Policy* • *Etc.*	• *Implementation integrity* • *Evidence-based practices* • *Practice competence* • *Cultural context* • *Family support* • *Etc.*	• *Academic* • *Social behavior* • *Study skills* • *Individualized electives* • *Post-secondary* • *Vocational* • *Recreational* • *Etc.*

Accomplishing accurate, durable, and adaptable SWPBS in a school requires systemic support that extends beyond an individual school. The real consideration is organizing multiple schools (e.g., cluster, complex, district, county, state) so that a common vision, language, and experience are established. This consistency improves the efficiency of resource use, implementation efforts, and organizational management. An expanded infrastructure also enhances the district and state level support (e.g., policy, resources, competence) that provides a supportive context for implementation at the local level.

To achieve the goal and this efficiency, a leadership **team or structure** is needed to achieve the goals and efficiencies outlined above. In addition, this team leads and increases the working capacity of the whole systemfive primary areas:

Training

- System's ability to self-assess for specific programmatic & staff development needs & objectives, develop training action plan, invest in increasing local training capacity, & implement effective & efficient training activities.

Coaching

- System's ability to organize personnel & resources for facilitating, assisting, maintaining, & adapting local school implementation efforts for both initial training & on-going implementation support.

Evaluation

- System's ability to establish measurable outcomes, methods for evaluating progress toward these measurable outcomes, & modified or adapted action plans based on these evaluations.

Coordination

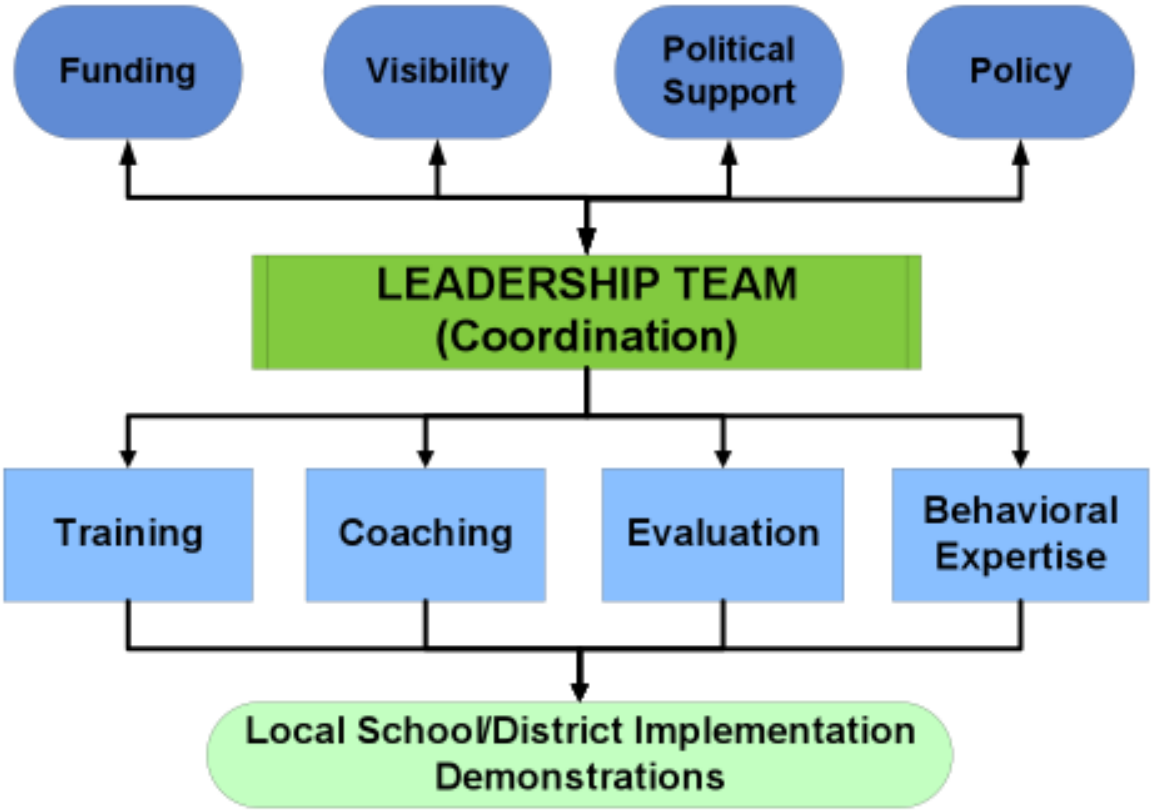
- System's ability to establish operational organization & "rhythm" that enables effective & efficient utilization of materials, time, & personnel in implementation of action plan.

Content

- System's ability to demonstrate expert knowledge, procedural fluency, & implementation competence w/r to specific practice.

SWPBS Implementation Blueprint

The following figure provides an overview of the SWPBS Organizational Logic.



The effectiveness of the SWPBS implementation is related to the extent that a common vision and a set of principles are used to guide decision-making and implementation efforts. The goals and capacity building elements of a SWPBS approach are founded on five major constructs or foundational concepts:

Prevention	• Organizing learning & teaching environments to prevent (a) development of new problem behaviors, (b) worsening of existing problem behaviors, & (c) triggering of problem behavior. Prevention is characterized by emphasis on directly teaching, actively monitoring, & positively reinforcing prosocial or adapted behaviors.
Whole School	• Addressing behavior support needs of all members (e.g., students, staff, family members, classified staff) & in all settings of school community.
Evidence-based Practices	• Interventions, strategies, & techniques that have empirical evidence of their effectiveness, efficiency, relevance, & durability. See below.
Teaming	• Working as cohesive, integrated, & representative collection of individuals who lead systems change and implementation process.
Evaluation	• Regular & systematic self-assessment of strengths & needs, & continuous self-improvement action planning process, with emphasis on intervention integrity & student performance outcomes.

"**Evidence-based practices**" refers to strategies, processes, and curricula for which information exists to support adoption and sustained use. Different levels of evidence should be considered:

Scientific Evidence	• Derived from studies that (a) carefully identify & control for variables that are & are not associated with practice or curricula & (b) demonstrate level of confidence with which outcomes & results can be associated with those variables (e.g., random selection of subjects, control & experimental group studies, pre/post group designs, single subject research studies).
Program Evaluation Evidence	• Derived from careful study of implementation efforts & their outcomes, but without control comparisons used in empirical research (e.g., nonrandom assignment, small participant numbers, no control group, no systematic replication of effects).
Social Validation	• Derived from individuals or organizations who report their outcomes & experiences with given practice, but without validation or testing information or methods.

Practices derived from studies that have supporting data but do not demonstrate experimentally that a functional relationship exists are "promising practices" for which adoption and use should proceed with caution. Implementers should proceed with caution when adopting practices that are derived from program evaluation studies. These practices may have supporting data, yet do not have experimental research that supports a functional relationship between practices and outcomes.

When no evidence is available, conservative use of a practice should be applied to avoid unforeseen negative side effects, extreme costs, and inefficient use of resources and time. At a minimum, new or innovative practices should be pilot-tested, measured frequently for the extent to which desired and undesired effects are experienced, and evaluated for their costs and benefits. Equally important, innovative practices must be based on sound theory.

Regardless of the evidence available for a practice, consideration for adoption should be based on a documented need, and the application of five main evaluation criteria:

Is the practice effective?

- What is the likelihood that the desired effects or outcomes will be achieved with the practice?

Is the practice efficient?

- What are the features that enable actual users to implement the practice with integrity and fluency in their local context?

Is the practice relevant?

- Does a contextual fit exist among the practice, the individuals who will experience the practice, the individuals who will use the practice, and the setting or culture in which the practice will be used?

Is the practice sustainable?

- Does practice have features and supports that enable sustained implementation with integrity?

Is the practice scalable?

- Does practice have features and supports that enable practice adoption to new and relevant settings?

PBS Implementation and Planning Self-assessment

A general template or protocol for self-assessment is found in Appendix A (*PBS Implementation and Planning Self-Assessment*), and has been designed to serve as a multi-level guide for (a) appraising the status of positive behavior support (PBS) organizational systems, and (b) developing and evaluating SWPBS action plans.

The following table summarizes the features that are associated with each section in relation to the elements associated with the SWPBS organizational logic presented in the previous figure.

FEATURES	
Leadership Team (Coordination)	1. Leadership Team is configured to address multi-school (**district**) and/or multi-district (**region, state**) leadership and coordination. 2. Leadership Team is established with **representation** from appropriate range of stakeholders (e.g., special education, general education, families, mental health, administration, higher education, professional development, evaluation & accountability). 3. Leadership Team completes SWPBS **Implementation Blueprint self-assessment** at least annually. 4. Leadership Team completes a **3-5 year prevention-based action plan** that delineates actions linked to each feature of the Implementation Blueprint. 5. Leadership Team establishes **regular meeting schedule** (at least quarterly) & meeting process (agenda, minutes, dissemination). 6. Leadership Team has established individual(s) who have adequate & designated time to manage **day-to-day operations.** 7. Leadership Team has established individuals who put **policy & action planning into practice**. 8. Leadership Team has established individuals who **inform leadership team** on implementation outcomes. 9. Organizational leadership has **authority** to implement.

Funding	10. Recurring/**stable state funding** sources are established to support operating structures & capacity activities for at least three years. 11. **Funding & organizational resources** across related initiatives are assessed & integrated.
Visibility	12. **Dissemination strategies** are identified & implemented to ensure that stakeholders are informed about activities & accomplishments (e.g., website, newsletter, conferences, TV). 13. Procedures are established for quarterly & public **acknowledgement** of implementation activities that meet criteria.
Political Support	14. Student **social behavior** is one of the top three to five goals for the political unit (state, district, region). 15. Leadership Team **reports** to the political unit at least annually on the activities & outcomes related to student behavior goal & SWPBS implementation. 16. Participation &**support by administrator** from state chief or equivalent administrator are agreed upon & secured.
Policy	17. SWPBS **policy statement** developed and endorsed. 18. **Procedural guidelines & working agreements** have been written & referenced for implementation decision making. 19. **Implementation data & outcomes** are reviewed semi-annually to refine policy. 20. Audit of effectiveness, relevance, & implementation integrity of **existing related** (similar outcomes) **initiatives**, programs, etc. is conducted annually to refine policy. 21. **Action plan for integrated and/or collaborative implementation** of SWPBS with other initiatives having similar outcomes and goals.

Training Capacity	22. Leadership Team gives priority to identification & adoption of **evidence-based training curriculum & professional development practices.** 23. Leadership Team has established **local training capacity** to build & sustain SWPBS practices. 24. Leadership Team has established plan for **continuous regeneration**& updating of training capacity.
Coaching Capacity	25. Leadership Team has developed a **coaching network** that establishes & sustains SWPBS. 26. **Individuals** are available to provide coaching & facilitation supports at least monthly with each emerging school teams (in training & not at implementation criteria), & at least quarterly with established teams. 27. **Coaching functions** are identified & established for internal (school level) & external (district/regional level) coaching supports.
Evaluation Capacity	28. Leadership Team has developed an **evaluation process**& schedule for assessing (a) extent to which teams are using SWPBS, (b) impact of SWPBS on student outcomes, & (c) extent to which the leadership team's action plan is implemented. 29. School-based data **information systems** (e.g., data collection tools & evaluation processes) are in place. 30. District &/or state level procedures & supports are in place for **system level evaluation**. 31. **Annual report** of implementation integrity & outcomes is disseminated. 32. At least **quarterly dissemination, celebration, and acknowledgement** of outcomes and accomplishments.

Behavioral Expertise	33. At least **two individuals on leadership team** have behavioral expertise and experience to ensure implementation integrity of SWPBS practices and systems at three capacity levels **(a) training, (b) coaching, and (c) evaluation.** 34. Individuals with behavioral expertise have **SWPBS content competence**. 35. The interaction and relationship between **effective academic instruction and school-wide behavior support**are visible and promoted. 36. SWPBS behavioral expertise includes fluency with the **process and organizational strategies** that support and enhance the use of evidence-based behavioral practices.
School/District Demonstrations	37. At least 10 schools have adopted SWPBS, & can be used as **local demonstrations** of process & outcomes. 38. At least 2 districts/regions have established demonstrations of **system-level leadership teams** to coordinate SWPBS implementation in 25% (3 or more) or more of their schools.

To use theSWPBS *Planning and Implementation Self-assessment, the* following general guidelines should be considered:

Form team that is representative of affected organization or community.

Specify question or need which assessment data will help to answer or address.

Identify existing behavior-related data (e.g., suspension/expulsions, behavior incidents, discipline referrals, attendance, achievement scores, dropout rates).

Specify how self-assessment & other information will be collected, summarized, & used in decision making & action planning.

Analyze & summarize data relative to evaluation question or need.

Specify desired outcome or objective based on analysis of data.

Consider & integrate with existing behavior-related efforts, initiatives, &/or programs that might have similar desired outcomes or objectives.

Select evidence-based practice that is likely to produce desired outcome & achieve objective.

Prepare site (e.g., people, resources) for accurate & sustained implementation of the practice.

Implement practice & monitor accuracy or fidelity of implementation.

Collect data continuously to evaluate progress toward objective or outcome.

Make adjustments to maximize outcome &/or increase efficiency of practice.

Each SWPBS implementation feature is described briefly in the following sections.

LEADERSHIP TEAM

1. **Leadership Team is configured to address multi-school (district) and/or multi-district (region, state) leadership and coordination.**

   The *SWPBS Implementation and Planning Self-Assessment* is focused on district, regional, and/or state level leadership team planning. However,it's features have applications to any large scale practice adoption and sustained/scaled implementation.

   The Leadership Team's primary function is to engage in leadership and coordination functions, which support and sustain accurate implementation of a continuum of evidence-based SWPBS practices. Its activities are configured around following SWPBS *Implementation Blueprint* features: (a) capacity building for training, coaching, evaluation, and coordination; (b) administrative participation for political support, visibility, funding, and policy; and (c) demonstrations of school and district implementation.

   The overriding mission or purpose of this team is to provide overall leadership related to assessing, developing, implementing, managing, and evaluating a state, regional, and/or district-level comprehensive system of SWPBS for all students. This team is responsible for the coordination of training, coaching, and evaluation activities related to SWPBS implementation. This team develops a 3-5 year action plan to guide its capacity building and coordination activities and to achieve the mission or purpose of the SWPBS implementation effort.

2. **Leadership Team is established with representation from appropriate range of stakeholders (e.g., special education, general education, families, mental health, administration, higher education, professional development, evaluation & accountability).**

Because of its leadership and coordination functions, membership on the SWPBS Leadership team should represent individuals who benefit from and are affected by the activities and decisions of SWPBS implementation. With its district, regional, and state focus, the leadership should have membership from a range of stakeholders, for example, general and special education leadership, professional development departments and agencies, specialists who support individuals with behavior challenges, and advocacy groups representing families, professional unions, and community members.

A SWPBS leadership team should have the capacity to represent any stakeholder who has a concern related to the prevention of problem behavior and the teaching and encouraging of prosocial behavior. Appropriate representation of stakeholders enables political, policy, management, and fiscal communications. The goal is to increase the efficiency with which common behavior support goals and objectives are achieved and supported.

To the greatest extent possible, leadership should strive toward integration of teams and committees that have a common behavior-related mission. Prioritizing initiative or integrating politically distinct groups can be a difficult task. The following questions should be considered:

- What committees/work groups can we **eliminate**?
- What committees/work groups can we **combine**?
- What committees/work groups need to be **supported** for improved outcomes and sustained functioning?
- What would an **organizational chart** look like that shows the relationship between each of our recommended committees/work groups?

Membership of this team should consist of individuals whose roles, responsibilities, and activities are associated with (a) prevention of the development and occurrence of problem behavior, (b) development and maintenance of general and specialized behavioral capacity or competence, and (c) management and evaluation of resources related to the provision of behavioral supports. Typically, the following areas are represented:

- Instruction and Curriculum
- Safe and Drug Free Schools
- Special Education
- School Psychology and Counseling
- Title I or Other Related Initiatives
- Student Health
- School-Wide Discipline
- Dropout Prevention
- Character Education
- Alternative Programming
- Data or Information Management
- Multiculturalism and Affirmative Action

3. Leadership Team completes <u>SWPBS Implementation Blueprint self-assessment</u> at least annually.

To enhance the efficiency and relevance of action planning, the SWPBS Leadership Team engages in annual self-assessments to evaluate what organizational activities, structures, resources, and/or initiatives are in place and need to be enhanced. The SWPBS *Self-assessment Survey* (See Appendix A) represents each of the features of SWPBS implementation, and can be used to organize the development and implementation of the SWPBS Leadership Team action plan. The following guidelines should be considered when completing the SWPBS *Self-assessment Survey*:

a. Complete on an annual basis.
b. Identify a range of representative stakeholders to engage in self-assessment process.

4. Team completes a 3-5 year prevention-based action plan.

Establishing effective, efficient, and relevant SWPBS requires action plan implementation that is sustained, formally invested, and high priority for 3-5 years. This action plan should emphasize coordination and capacity building related to establishing (a) school demonstrations, (b) coaching/facilitation, (c) training, (d) evaluation, (e) recurring funding, (f) guiding policy development and enactment, (g) dissemination, and (h) visible public relations. Each of these areas will include by-month specification of activities and persons responsible. See Appendix B for example.

- Use the action plan during regularly scheduled meetings of the Leadership Team to evaluate current progress and activities.
- Collect and use other forms of data (e.g., referrals for special supports, discipline data, etc.) to support and inform data from self-assessment and to develop action plan features.
- Develop, review, and update action plan annually based on analysis of results from SWPBS *Self-Assessment Survey*, and data from implementation integrity checks and student outcomes.
- Assess extent to which action plan features and activities are culturally and contextually appropriate.

5. Leadership Team establishes <u>regular meeting schedule</u> (at least quarterly) & meeting process (agenda, minutes, dissemination).

The SWPBS Leadership Team should establish a routine that enhances predictability, organizational efficiency, administrative status, and coordination capacity. Teams should meet at least quarterly (usually monthly), and maintain a record of planning, activity, policy agreements and decisions. The goal is to establish an institutional memory for sustained and expanded implementation.

Leadership Team meetings should engage in discussions and activities that allow policy to enable practice and practice to inform policy. The activities, products, and objectives of the action plan should serve as organizers for this kind of discussion.

Minutes and/or notes from Leadership Team meetings should be disseminated within two days to stakeholders, leadership, and others who are invested in and benefit from team decisions and discussions, and whose feedback would be informative to the functioning of the SWPBS Leadership team. In addition, minutes should be archived and accessible to relevant individuals (e.g., Sharepoint, Google docs, Dropbox).

6. **Leadership Team has established individual(s) who have adequate & designated time to manage day-to-day operations.**

An individual or team of individuals is needed to provide coordination and leadership for team and action plan implementation. At minimum, the coordinator should have fluency with knowledge and implementation of (a) SWPBS practices and systems; (b) organizational change strategies; (c) assessment-based action planning approach; (d) coordination, coaching/facilitation, and training; and (e) regular program evaluation strategies.

More importantly, individuals with coordination capacity are needed to ensure that the daily logistics are handled accurately and consistently, for example,

- Information management and dissemination
- Preparation for and conducting team meetings.
- Maintenance of efficient and information communications.
- Establishment and use of an events calendar that reflects action plan deadlines for activities and tasks.
- Management of fiscal-related tasks.

7. **Leadership Team has established individuals who put policy & action planning into practice.**

The activities and practices of the SWPBS Leadership Team are guided fundamentally by organizational policy and action plan goals, activities, and deadlines. Individuals with coordination functions and capacity have the critical role of moving policy and action plans into implementation activities at the school leadership team level, that is, "policy enabled practice."[3] For example, during SWPBS Leadership Team meetings, coordinators refer to policy guidelines to inform their decisions and action plan implementation.

[3]Fixsen, Blase, et al. (2004) have developed the Policy Enabled Practice (PEP) and Practice Informed Policy(PIP) working concept.

8. Leadership Team has established individuals who inform leadership team on implementation outcomes.

To enhance policy, update action plans, and revise decisions and activities, coordinators have the additional important role of gathering and presenting information from the implementation sites back to the SWPBS Leadership Team, that is, "practice informed policy." These implementation outcomes include data on implementation integrity, student progress, and local implementation decision-making.

9. Organizational leadership has authority to implement.

The leadership team must have the authority from existing administrative entities (e.g., supervisors, superintendents, education boards, commissioners) to implement practice and supporting systems (i.e., data management and evaluation, coaching, training, expertise) and necessary resources (e.g., funding, personnel, expertise) to enable implementation with integrity (accurate and fluent). This authority may involve, for example, practice selection, activity prioritization, resource distribution, policy development, and implementation coordination.

FUNDING

10. Recurring/stable state funding sources are established to support operating structures & capacity activities for at least three years.

Establishing accurate, durable, and scalable implementation of systems level change efforts can require as much as three to five years. Stable and predictable funding should be secured to support the personnel, management, coordination, and leadership function of the SWPBS implementation effort. Activities and requirements specified in the annual action plan also can be used to develop an appropriate funding model.

To the greatest extent possible, secure recurring support from the general fund (e.g., department of education, mental and public health). Although grant support can be a useful source of start-up funding, this type of funding may not be sustainable.

11. <u>Funding & organizational resources</u> across related initiatives are assessed & integrated.

SWPBS goals, activities, and outcomes are likely to be related to those of other initiatives and programs, for example, Character Education, Safe/Drug-Free, Title I, and Special Education. To achieve organizational effectiveness, efficiency, and relevance, Leadership Team members and stakeholders should examine opportunities to blend funding and resources. This blending can occur naturally as a result of organizational restructuring and integration of multiple and similar committees, programs, etc.

VISIBILITY

12. <u>Dissemination strategies</u> are identified & implemented to ensure that stakeholders are informed about activities & accomplishments (e.g., website, newsletter, conferences, TV).

Keeping stakeholders (e.g., district/state administrators, school board members, local politicians, parent groups) informed about the implementation efforts and accomplishments is important for a number of reasons, for example, (a) communication, (b) accountability, (c) funding and resource justification, (d) promotion of sustained and/or expanded implementation, and (e) acknowledgements.

Visibility can be accomplished in a variety of ways (e.g., websites, newsletters, presentations, media coverage, site visits). The goal is to schedule regular (e.g., quarterly, semi-annual, annual) events in which current activities and accomplishments and future events are highlighted. In addition, exemplar schools, classes, grade levels, students, and/or communities can be showcased. To the greatest extent possible, outcomes should be highlighted through the collection and display of data. These data should be linked to the activities of the initiative and to the costs and benefits of the effort.

13. Procedures are established for quarterly & public <u>acknowledgement</u> of implementation activities that meet criteria.

At all performance levels (e.g., individual student, classroom teacher, leadership team, school and district administrator, regional/state chief), accurate and sustained implementation of effective practices is directly linked to meaningful, regular, and contingent feedback. An important element of performance feedback is ensuring that positive recognition and

acknowledgement are visible to the individual (e.g., student, family member, educator, staff member, administrator) and relevant members of that individual's working and social network or culture. As such, this feedback can "spread" to other responsible individuals within the organization (i.e., classroom, school, district, region, state).

One of the major functions of the SWPBS Leadership Team is to develop and implement a formal system of performance acknowledgements, which shouldhave the following characteristics:

- Culturally and contextually relevant.
- Visible to individuals and their relevant social network.
- Contingent or related to the individual's actual performance at expected criterion levels.
- Provided on a regular schedule (e.g., monthly, quarterly, annually).
- Appropriate and specific to a given individual's level of responsibilities, functioning, and position.

POLITICAL SUPPORT

14. Student social behavior is one of the top three to five goals for the political unit (state, district, region).

The improvement of social behavior of all students must be a high priority at leadership and coordination levels (i.e., district, region, state) to maximize accuracy, consistency, and durability of SWPBS implementation and to enable long term investments and expansions. Without high priority, supports for coordination, funding, coaching, training, and evaluation activities are affected by competing demands for funding, personnel, and organizational resources.

High priority can be accomplished by (a) integrating initiatives that have similar goals, activities, and outcomes; (b) demonstrating a link to important and desired system level goals, priorities, and needs; (c) providing clear evidence of the effectiveness, efficiency, and relevance of activities and their outcomes; (d) advocating for the need and importance of an agenda of prevention and positive behavior support; and (e) most importantly, documenting a functional link between academic gains, social behavior, and school climate. Establishing priority also can be supported by demonstrating how the SWPBS effort will contribute substantially to implementing the activities and achieving the goals of other high priority initiatives, for example,

No Child Left Behind, Safe and Drug-Free Schools, Reading First, and Character Education.

15. Leadership Team reports to the political unit at least annually on the activities & outcomes related to student behavior goal & SWPBS implementation.

Regular reports and presentations to organizational leaders and community stakeholders increase visibility, accountability, public relations, and future planning and support. Events should be conducted at least annually to create a rhythm or routine for others to learn about current activities and their outcomes, and directly reflect achievement and progress toward improving the student behavior goal.

Postings on information websites or shared networks, standing presentations at leadership meetings (e.g., superintendent's cabinet, school board meetings, community information forums), and formal submission of annual performance reports can be a useful means of informing key political decision makers and leaders of current activities and accomplishments, and of future plans and needs.

16. Participation &support by administrator from state chief or equivalent administrator are agreed upon & secured.

To the greatest extent, administrative leaders of the regional, district, and/or state political unit should be included as active members of the SWPBS Leadership Team to enhance (a) political support and influence, (b) decision making, (c) resource management, (d) relevant action planning, (e) durable and expanded implementation, and (f) policy development and implementation. These administrators might include, for example, superintendents, school board members, program heads, and directors of other initiatives. In addition, community members also might be included, for example, political leaders (e.g., mayor, city council members), business owners or managers, local community program directors, and state and federal legislators. If full membership on the team is not possible, administrators should be invited to attend and participate in initiative activities.

POLICY

17. SWPBS policy statement developed and endorsed.

To guide and focus the SWPBS initiative, a policy statement should be developed and endorsed by the leadership team and organizational leaders. This policy statement should be focused on the improvement and support of student academic and social behavior, positively stated, and considerate of evidence-based practices, and supporting systems.

18. Procedural guidelines & working agreements have been written & referenced for implementation decision-making.

This policy statement should include descriptions of (a) need and rationale, (b) purpose and benefits, (c) measurable outcome objectives, (d) activities and operations for achieving these objectives, and (e) evaluation strategy. This statement will assist in enhancing visibility, funding, political support, and resource commitments.

Although mandating a SWPBS framework, specifically, is not recommended, a policy statement can delineate necessary requirements related to, for example, implementation readiness, participation expectations, evidence-based practices, evaluation procedures, and benchmarks for successful sustained and scaled implementation.

19. Implementation data & outcomes are reviewed semi-annually to refine policy.

The relationship between policy and implementation practice is two-way in that it is dynamic, in that each continuously should enable and inform the other. Specifically, policy is current and contextually relevant when implementation and outcome information is collected on a regular basis (at least semi-annually).

- *Implementation information* describes the extent to which an evidence-based practice is implemented as originally tested and intended and to which modifications and adaptations have been made.
- *Outcome information* describes the associated effects (i.e., improvement, no difference, worsening) in student performance.

Together, implementation and outcome information can be used to refine policy statements that guide practice implementation and maximize student responsiveness.

20. Audit of effectiveness, relevance, & implementation integrity of existing related (similar outcomes) initiatives, programs, etc. is conducted annually to refine policy.

Policy is generally not intervention or practice specific, but instead provides guidelines and requirements for practice selection, implementation, and change. To be useful, policy statements should provide specific statements about purpose, performance criteria, outcomes, and implementation requirements. As a result, audits can be conducted to determine which initiatives are represented by these policy characteristics, and, in turn, how policy might be revised to represent what has been learned from implementation practice.

The end objective is to identify specific ways that related and existing initiatives, programs, interventions, and practices might (a) modified, (b) merged, (c) left unchanged, (d) eliminated, and/or (e) lowered/raised in priority. From a policy perspective, the intent is for increased organizational efficiency, effectiveness, relevance, durability, and scalability.

21. Action plan developed for integrated and/or collaborative implementation of SWPBS with other initiatives, programs, mandates, etc. that have similar goals, participants, implementers, and expected outcomes.

Formal plans are useful for mapping and guiding how similar initiatives, programs, mandates, etc. that share common goals, outcomes, participants, and implementers could be integrated to make efficient, effective, and relevant use of resources. This action plan should be formalized so that commitments and on-going activities toward integrated implementation are supported. In addition, an action plan will provide a basis for judging the extent to which implementation is on track toward desired outcomes.

TRAINING CAPACITY[4]

22. Leadership Team gives priority to identification & adoption of evidence-based training curriculum & professional development practices.

Staff and team training practices may need to be modified to fit the local needs, context, and cultureand to maximize performance and outcomes. Thus, the process must be initiated with evidence-based professional development practices that have demonstrated efficacy and effectiveness.

"Evidence" may take a variety of forms, and they may vary with respect to experimental rigor, theoretical or conceptual alignment, or practical relevance. In general, the following guiding questions should be considered:

- Was a clear functional relationship documented between the training practices and staff performance outcomes through experimental and quasi-experimental research designs that control for alternative explanations?
- Have multiple replications of the functional relationship been documented across similar and different learners, implementers, and contexts?
- Does the professional development practice have sufficient social and educational validity (i.e., acceptability and relevance to implementers) to support its experimental evidence?
- Are procedures and instruments provided to measure implementation integrity?

[4]See SWPBS Professional Development Blueprint at www.pbis.org for detailed examination of personnel development purpose, procedures, tools, guidelines, process, and outcomes.

23. Leadership Team has established <u>local training capacity</u> to build & sustain SWPBS practices.

To decrease reliance on outside training expertise, the leadership team should invest in building the capacity to provide training within its own district, region, or state. Individuals who possess this training capacity have the following characteristics:

- Demonstrated fluency with key concepts/features, practices, and systems of SWPBS.
- Participated in full training sequence for school leadership teams, which was led by a competent and experienced SWPBS trainer.
- Have successful experiences in providing training workshops to adult learners, especially, in school leadership team formats.
- Direct experience with implementation of SWPBS practices and systems in multiple schools.

24. Leadership Team has established a plan for <u>continuous regeneration</u>& updating of training capacity.

Successful organizations formally plan for duplication or redundancy of expert knowledge and training capacity, specifically to respond to staff attrition, transfers, and changes, and access to new, modified, and/or adjusted practices.

SWPBS Leadership Teams develop action plans that initiate school team training with external experienced trainers, and simultaneously identify individuals who can assume team training responsibilities as the implementation matures. The objective is to have local training capacity within 2-3 years that has the potential to expand or scale up as more schools and districts consider adoption and implementation of SWPBS.

This plan for continuous regeneration also considers how other local training resources can be integrated into the SWPBS action plan, for example, local college and university personnel preparation programs, and regional resource centers. In addition, indirect professional training structures are considered, for example, web-based training modules, audio and video based materials, and remote video-conferencing equipment.

COACHING CAPACITY[5]

25. Leadership Team has developed a <u>coaching network</u> that establishes & sustains SWPBS.

To support school team implementation of SWPBS, an overt and formalized network is needed to link training experiences and actual use of the SWPBS systems and practices. Coaching, or facilitation, capacity refers to the system's ability to organize personnel and resources for facilitating, assisting, maintaining, and adapting local school training implementation efforts.

This coaching network is established and maintained by the leadership team that provides regular opportunities for professional development and advancement, problem solving, and maintaining recognition and acknowledgements. The coaching network also provides SWPBS Leadership Teams with implementation feedback for enhancing training, evaluation, coordination, etc.

The following guiding principles are considered when establishing coaching capacity:

- Each school team should have access to coaching support.
- On-going district support is needed to maintain coaching activities.
- Coaches must have experience with school team implementation and problem solving.
- Coaches' training and experiences must be linked with school team training and implementation.

26. <u>Individuals</u> are available to provide coaching & facilitation supports at least monthly with emerging school teams (in training & not at implementation criteria), & at least quarterly with established teams.

Although individuals can refer to themselves as PBIS "coaches" or "facilitators," most implementation efforts emphasize the roles, responsibilities, and activities of coaching. Given this emphasis, efficiencies are developed by integrating the coaching functions into job descriptions of existing school personnel (e.g., school psychologist, behavior specialist, social worker, school counselor, cluster/complex administrator).

[5]See SWPBS Professional Development Blueprint at www.pbis.org for detailed examination of personnel development purpose, procedures, tools, guidelines, process, and outcomes.

Individuals who provide these coaching supports and functions meet with school teams as frequently as monthly for newly implementing school teams, and as infrequently as quarterly for established teams. Their primary objective is to provide prompts and reminders of important implementation activities.

27. <u>Coaching functions</u> are identified & established for internal (school level) & external (district/regional level) coaching supports.

Individuals within a coaching network may be located within a school (internal coaching) or at the district or regional level (external coaching), and may be responsible for one to many school teams depending upon geographic distribution, school and district size and enrollment, level of implementation (emerging v. established), and other position specific responsibilities (e.g., school psychologist, social work, counselor, special education, administrator, grade level teacher).

Coaching for "emerging" teams, that are in process of establishing major systems elements (e.g., securing staff agreements, conducting self-assessments and data reviews, developing school-wide action plans), is frequent and on-going to ensure accurate, continuous, and effective implementation. At least monthly, coaches, for example, (a) attend team meetings, (b) make contact (e.g., email, telephone) with team leader and/or administrator, (c) review and report school data, (d) complete and/or check team progress on *Team Implementation Checklist*, (e) acknowledge team progress and outcomes, and (f) report school progress to district and state leadership.

Coaching for "established" teams, that are focused on action plan implementation, includes many of the same functions for emerging teams, except that the emphasis is, for example, on (a) monitoring accuracy and consistency of implementation (*Team Implementation Checklist*), (b) maximizing targeted outcomes, (c) increasing implementation efficiency, (d) acknowledging progress and outcomes, (e) communicating progress to district and state leadership, and (f) facilitating review of data and action plan enhancement.

EVALUATION[6]

28. Leadership has developed evaluation process& schedule for assessing (a) extent to which teams are using SWPBS, (b) impact of SWPBS on student outcomes, &(c) extent to which the leadership team's action plan is implemented.

Leadership teams conduct assessments for three main reasons. First, assessment information is used to examine the extent to which teams are accurately selecting and implementing the SWPBS systems and practices. SWPBS practices and systems are grounded in behavioral theory and research evidence. Second, assessment information allows teams to determine the extent to which targeted student outcomes are being and/or likely to be achieved. Initial specification of these outcomes should be linked to reviews of existing data. Third, assessments are conducted to determine if teams are accurately and consistently implementing activities and practices specified in their individualized action plan.

When developing an evaluation process or plan, the following guidelines should be considered:

- Use a team to lead the assessment and evaluation process.
- Develop general and specific evaluation questions that reflect measurable outcomes.
- Identify a range or variety of data sources that could be used to answer evaluation questions.
- Review existing data, and if needed, collect additional data to determine what is in place, what might need to be changed/improved, etc.
- Based on data analysis, develop an action plan that specifies practices that have been shown to be effective in achieving the desired outcomes.
- Implement practices and monitor progress toward achieving outcomes.

[6] See SWPBS Evaluation Blueprint at www.pbis.org for detailed examination of evaluation purpose, procedures, tools, analyses, and outcomes.

29. School-based <u>information systems</u> (e.g., data collection tools and evaluation processes) are in place.

To guide decisions, efficient, effective, and relevant school-wide information systems are needed. These systems should meet the following guidelines:

- Specify a comprehensive set of behaviors that are of concern and interest to the school in decision making.
- Define each behavior in terms that are measurable, distinctive, and mutually exclusive (i.e., not overlapping).
- Develop procedures that take a minimal amount of time and resources to collect, store/enter, summarize, retrieve, and display the data.
- Operate team-based processes by which school leadership teams regularly review and act on their data.

One of the most commonly available sources of data that can reflect the status of the school discipline and social climate is office discipline and referral information. Processes and records of behavioral incidents and minor and/or major rule violations are maintained in most schools. To be useful, school discipline data must have a comprehensive list of rule-violating behaviors that are defined in measurable and mutually exclusive terms. A system for entering, storing, summarizing, and displaying discipline data must be easy to use and consume no more than 1% of staff time. At minimum and at least quarterly, school teams should review graphs of the following five data displays: (a) number of office discipline referrals per day per month, (b) number of office referrals by type of problem behavior, (c) number of office discipline referrals by school location, (d), number of office discipline referrals by student, and (e) number of office discipline referrals by staff member.

30. District &/or state level procedures & supports are in place for <u>system level evaluation.</u>

SWPBS Leadership Teams must establish the capacity to collect, summarize, analyze, and report multiple levels of information, for example, student, classroom, school, district, regional, and state. Similar to school-level data management and decision making, evaluation questions need to be clear and specific, measures need to be observably defined, data collection tools and procedures need to be efficient, and the technology must be user friendly in its summarizations and reporting.

At the systems (district, regional, state) levels, questions relate to issues about (a) special education referrals, (b) disproportionality of specific student groups, (c) interaction between academic and behavior performance outcomes, (d) universal screening and continuous progress monitoring, and (e) intervention and placement decisions related to students whose behaviors are the least responsive to varied intensities of interventions.

31. <u>Annual report</u> of implementation integrity & outcomes is disseminated.

Data are only as useful to the extent in which they can be helpful in answering evaluation questions that are important to key stakeholders. An important task of the SWPBS Leadership Team is annual and formal dissemination of key implementation outcomes, especially, intervention integrity and student responsiveness and outcomes.

Regardless of the dissemination strategy (e.g., website, newsletter, standalone document), the format must have the following characteristics:

- Organized around key evaluation questions.
- Visually easy to interpret.
- Accessible to a variety of audiences and stakeholders.
- Emphasis on accomplishments, progress, and enhancements.
- Positive and constructive in messages and recommendations.

32. At least quarterly dissemination, celebration, & acknowledgement of outcomes and accomplishments.

Leadership teams should regularly (at least quarterly) engage in activities that (a) build public relations, (b) provide information about implementation efforts and outcomes, (c) reinforce implementation efforts, and (d) provide support for future funding and implementation planning. Activities include, for example, publications (e.g., websites, newsletters), presentations (e.g., conferences, school boards, community groups), public relations events (e.g., radio/television spots, newspaper articles), and individual (person, school, district) acknowledgements (e.g., certificates of recognition, public recognition).

BEHAVIORAL EXPERTISE

33. At least two individuals on leadership team have behavioral expertise and experience to ensure implementation integrity of SWPBS practices and systems at three capacity levels: (a) training, (b) coaching, & (c) evaluation.

The history and evolution of the SWPBS framework are firmly grounded in behavioral theory and behavior analysis. Similarly, the practices, strategies, and interventions that comprise SWPBS (school-wide discipline, classroom and behavior management, individual student behavior support) are derived from the behavioral research. To ensure consistent, accurate, and durable implementation integrity, behavioral expertise must be established within all SWPBS implementation activities.

At least two qualified individuals on the leadership team are recommended to maintain quality control and implementation integrity for training, coaching, and evaluation. At least two individuals are recommended to ensure content consistency and momentum should a change in personnel occur.

Finally, individuals at the leadership level would have the responsibility of training other individuals in leadership, coordination, and professional development positions on the principles, theory, and practices of a behavioral approach to SWPBS.

34. Individuals with behavioral expertise have SWPBS content competence.

Although specific technical behavioral language and terminology may not be emphasized, behavioral content should serve as the foundation for SWPBS practices and systems. This content would include, for example,

- Behavioral theory
- Behavior analysis
- Proactive school-wide discipline
- Effective classroom and behavior management strategies
- Function based behavior intervention planning and support
- Direct social skills instruction
- Principles of reinforcement

35. The interaction & relationship between effective academic instruction and school-wide behavior support are visible & promoted.

Integrating academic reforms and behavior support efforts is important for a number of reasons. First, research increasingly is demonstrating a relationship between academic and behavior success. When students have successful social skills, their academic engagement improves and teachers can teach. When students are academically successful, their social engagement is enhanced, and teachers' classroom management implementation is improved.

Second, resources (e.g., personnel, time, money) can be used more effectively and efficiently by integrating both academic and behavior support efforts. Third, by formalizing how academic and behavior supports are delivered, school staff members increase their understanding and capacity to integrate their instructional and behavior management practices.

36. SWPBS behavioral expertise includes fluency with the process & organizational strategies that support & enhance the use of evidence-based behavioral practices.

The impact of evidence based behavioral practices is affected by the accuracy and fluency with which those practices are implemented. Individuals who have content behavioral expertise also must have the capacity to support implementation of those practices. Practice implementation integrity (see previous description) includes attention to the requirements for

implementation and the systems needed to support use of those requirements, for example,

- Pre-requisite implementation skills and resources are in place.
- Student outcomes are defined and monitored to assess responsiveness to practice implementation.
- Practice implementation checklist is available and used to assess/document implementation integrity.
- Procedures are in place to make adjustments for improving outcomes and adapting to local context/culture.
- A schedule is in place for regular data-basedreview of student outcomes and implementation integrity.
- Procedural supports are available for providing implementation performance feedback and, if needed, remedial assistance.

SCHOOL/DISTRICT DEMONSTRATIONS

37. At least 10 schools have adopted SWPBS, & can be used as <u>local demonstrations</u> of process & outcomes.

One of the major activities of the SWPBS Leadership Team is to develop an action plan that systematically and formally implements and coordinates SWPBS. The number of schools that are involved in the initial implementation should reflect the following criteria: (a) high agreement and commitment to involvement in 2-3 years of training and implementation, (b) active administrative support and participation commitment, (c) an indication by at least 80% of staff for a minimum of one year of participation, and (d) district/regional support and commitment.

Initial implementation in a small number of schools (10 or more) is recommended to (a) maximize early success, (b) identify enhancements that would increase the effectiveness and efficiency of future implementations, and (c) establish demonstrations or examples of implementation. These demonstrations would reinforce the rationale for local implementation and serve as training resources and models for future teams.

The goal is to create school level demonstrations that serve as examples of what is possible and as a basis for building training capacity, expansion, and sustainability.

38. At least 2 districts/regions have established demonstrations of <u>system-level leadership teams</u> to coordinate SWPBS implementation in 25% (3 schools) or more of their schools.

Similar to the school level demonstrations, the SWPBS Leadership Team develops action plan activities for the establishment of 2 or more district and/or regional implementations in which 25% (or 3 schools) of schools are actively implementing SWPBS and guided by a local leadership team. The objective is to distribute implementation capacities (coaching, training, coordination, and evaluation) at multiple levels so that continuous regeneration and locally owned and maintained implementation capacity are established.

Appendices

A *PBS Self-Assessment Checklist*

B Sample Template for State/District Action Planning

Appendix A

SWPBS Self-Assessment Checklist

SWPBS IMPLEMENTATION AND PLANNING SELF-ASSESSMENT[7][8]

Center on Positive Behavioral Interventions and Supports

March 21, 2010 rev

Purposes: This self-assessment has been designed to serve as a multi-level guide for (a) appraising the status of positive behavior support (PBS) organizational systems, and (b) developing and evaluating SWPBS action plans.

Guidelines for Use[9]:

- Form team to complete self-assessment.
- Specify how self-assessment information will be used.
- Consider existing behavior-related efforts, initiatives, and/or programs.
- Review existing behavior-related data (e.g., suspension/expulsions, behavior incidents, discipline referrals, attendance, achievement scores, dropout rates).

Date _____

Members of Team Completing Self-Assessment _____

_____

_____

Level of Implementation Being Considered

□ State-wide □ Region/District-wide □ School-wide □ Other_____

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[8]©2009, 2002 Center on Positive Behavioral Interventions and Supports, University of Oregon.

[9]See SWPBS *Implementers' Blueprint* for supporting definitions, descriptions, and guidelines.

SWPBS Implementation Self-Assessment and Planning Tool

	IMPLEMENTATION FEATURE	IN PLACE STATUS		
		Yes	Partial	No
Leadership Team	1. Capacity to address multi-school (**district**) and/or multi-district (**region, state**) leadership and coordination.			
	2. Leadership Team with **representation** from appropriate range of stakeholders (e.g., special education, general education, families, mental health, administration, higher education, professional development, evaluation & accountability).			
	3. Completion of SWPBS **Implementation Blueprint self-assessment** at least annually.			
	4. **3-5 year prevention-based action plan** that delineates actions linked to each feature of the Implementation Blueprint.			
	5. **Regular meeting schedule** (at least quarterly) & meeting process (agenda, minutes, dissemination).			

	6. Individual(s) who have adequate & designated time to manage **day-to-day operations.**			
	7. Individual(s) who put **policy & action planning into practice**.			
	8. Individual(s) who **inform leadership team** on implementation outcomes.			
	9. Implementation **authority**from organizational leadership.			
Funding	10. Recurring/**stable state funding** sources to support operating structures & capacity activities for at least three years.			
	11. Assessment & integration of **funding & organizational resources** across related initiatives.			

Visibility	12. **Dissemination strategies** to ensure that stakeholders are informed about activities & accomplishments (e.g., website, newsletter, conferences, TV).			
	13. Procedures for quarterly & public **acknowledgement** of implementation activities that meet criteria.			
Political Support	14. Student **social behavior** is one of the top three to five goals for the political unit (state, district, region).			
	15. Leadership Team **reports** to the political unit at least annually on the activities & outcomes related to student behavior goal & SWPBS implementation.			
	16. Participation &**support by administrator** from state chief or equivalent administrator are agreed upon & secured.			
Policy	17. Endorsed SWPBS **policy statement**.			

	18. **Written procedural guidelines & working agreements** for guiding implementation decision-making.			
	19. Semi-annual review of **implementation data & outcomes** to refine policy.			
	20. Annual audit of effectiveness, relevance, & implementation integrity of **existing related** (similar outcomes) **initiatives**, programs, etc. to refine policy.			
	21. **Action plan for integrated and/or collaborative implementation** of SWPBS with other initiatives having similar outcomes and goals.			
Training Capacity	22. Priority for identification & adoption of **evidence-based training curriculum & professional development practices.**			
	23. Plan for **local training capacity** to build & sustain SWPBS practices.			

	24. Plan for **continuous regeneration**& updating of training capacity.			
Coaching Capacity	25. **Coaching network** that establishes & sustains SWPBS.			
	26. **Individuals** for coaching & facilitation supports at least monthly with each emerging school teams (in training & not at implementation criteria), & at least quarterly with established teams.			
	27. **Coaching functions** for internal (school level) & external (district/regional level) coaching supports.			
Evaluation Capacity	28. An **evaluation process**& schedule for assessing (a) extent to which teams are using SWPBS, (b) impact of SWPBS on student outcomes, & (c) extent to which the leadership team's action plan is implemented.			
	29. School-based data **information systems** (e.g., data collection tools & evaluation processes).			

	30. District &/or state level procedures & supports for **system level evaluation**.			
	31. Dissemination of **annual report** of implementation integrity & outcomes.			
	32. At least **quarterly dissemination, celebration, and acknowledgement** of outcomes and accomplishments.			
Behavioral Competence	33. At least **two individuals on leadership team** have behavioral expertise and experience to ensure implementation integrity of SWPBS practices and systems at three capacity levels (a) training, (b) coaching, and (c) evaluation.			
	34. Individuals with behavioral expertise have **SWPBS content competence.**			

	35. The interaction and relationship between **effective academic instruction** and **school-wide behavior support**are visible and promoted.			
	36. SWPBS behavioral expertise includes fluency with the **process and organizational strategies** that support and enhance the use of evidence-based behavioral practices.			
School/District Demonstrations	37. At least 10 **local school demonstrations** of SWPBS process & outcomes.			
	38. Establishment of at least 2 districts/regional demonstrations of **system-level leadership teams** to coordinate SWPBS implementation in 25% (3 schools) or more of their schools.			

Sample State/District Leadership SWPBS Action Planning Template

GOAL: District and/or state level capacity to establish, sustain, and scale-up of accurate implementation of a continuum (multi-tiered) of SWPBS across multiple schools.

Month	Activity/Action (Person/s)								
	Leadership/ Coordination	Coaching/ Facilitation	Training	Evaluation	Behavioral Expertise	Funding	Visibility	Political Support	Policy
Jul									
Aug									
Sep									
Oct									
Nov									
Dec									
Jan									

Feb									
Mar									
Apr									
May									
Jun									
Jul									
Aug									
Sep									
Oct									
Dec									

Jan									

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