

***The
Adult Education State Director's***

Going to Scale Guide

***for
Planning, Implementing, and Evaluating
State Program Improvement Initiatives***

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A special thanks to the Adult Education State Directors who participated in the NAEPDC National Training Institute near Orlando, Florida, November 8-10, 2000. During that Institute, the Directors used the draft of this Guide to plan a program improvement initiative in their state. In the process, you made numerous suggestions that have been incorporated in this final version. We hope that you will continue to suggest revisions and additions to improve the relevance and usefulness of the Guide.

Dr. Lennox L. McLendon
Ms. Kathi Polis

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A resource guide
from the
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NAEPDC

The National Adult Education Professional Development Consortium (NAEPDC) was incorporated in 1990 to fulfill a desire of the state adult education staff to enhance their professional development. Organized by the state directors of adult education, NAEPDC has four main purposes:

- To coordinate, develop and conduct programs of professional development for state adult education staffs;
- To serve as a catalyst for public policy review and development related to adult education;
- To disseminate information on the field of adult education; and
- To maintain a visible presence for the state adult education program in our nation's capitol.

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Preface

Going to Scale *A Work Text for State Directors of Adult Education*

Going to Scale is your resource guide for planning, implementing, evaluating and celebrating the success of state program improvement initiatives. Its companion document is NAEPDC's *State Adult Education Management and Leadership Functions: a Self Assessment*. This *Self Assessment* enables you, as Adult Education State Director, the opportunity and structure to assess your various functions and systems and identify the ones that need to be improved.

When you have identified one of your systems that needs improvement, you begin to ask yourself a series of questions:

What are the alternatives to what we are doing now?

How do I find out what those alternatives are?

How do I validate those alternatives that seem to have potential and adapt them to our state?

How do I imbed the adapted alternative throughout our state?

How do I measure its impact to be sure it is doing what we want it to do?

This process is called "going to scale" when you plan a program improvement strategy, carry it out, and imbed a new system or parts of a system throughout your state. We have listened to colleagues talk about putting in a new staff development system, a new data/accountability system, or a new instructional system. Thus it can be done. This *State Director's Guide for Going to Scale* will lead you through the process for taking a program improvement strategy "to scale."

WARNING: Rarely are program improvement plans linear. Rarely can you carryout the planning, implementation, and evaluation by sequentially proceeding through TASKS 1-16 in that order. One of your first chores is to assemble your steering group and work through this handbook re-ordering the TASKS and adding others to fit the program improvement initiative you are undertaking. The Handbook, thus, is a guide, not a prescription.

The State Directors who reviewed this document were emphatic that this WARNING be prominent. Therefore, it is repeated throughout the guide.

Introduction

Going to Scale State Director's Guide

A part of the Adult Education State Director's role is to continually improve the services and support systems for the adult learners and the teachers, tutors, and program managers in the state. Even though minor changes can be done with targeted training and support, broader system-wide changes require a more concerted effort to ensure the changes will permeate the state delivery system, integrate with the rest of that delivery system, and ensure buy-in from the various staff and stakeholders.

Identifying one of your systems that needs to be improved and carrying an improvement strategy through system integration is called "Going to Scale." This State Director's *Going to Scale Guide* is a useful guide for a State Director and her or his staff to take any program improvement initiative to scale.

Generally, Going to Scale involves identifying the system that needs to be improved, selecting alternatives, pilot testing and adapting the alternatives to fit your state, and integrating the improved system throughout the state either through a staged implementation or state-wide at one time.

WARNING REPEATED: Rarely are program improvement plans linear. Rarely can you carryout the planning, implementation, and evaluation by sequentially proceeding through TASKS 1-16 in that order. One of your first chores is to assemble your steering group and work through this handbook re-ordering the TASKS and adding others to fit the program improvement initiative you are undertaking. The Handbook, thus, is a guide not a prescription.

Going to Scale components include the following TASKS which are detailed in this Guide:

1. Engaging practitioners and partners in identifying and clarifying the system components that need improvement and prioritizing and selecting the need to address;
2. Setting a vision for your program improvement initiative;
3. Gathering and selecting promising alternatives and/or options for addressing the need;
4. Costing and budgeting the program improvement initiative;
5. Setting six month bench marks;
6. Piloting and adapting those alternatives and/or options to fit the state and its systems;
7. Linking the initiative to other state initiatives to gain political support;
8. Designing and placing the staff development requirements;
9. Designing and placing the support and resource requirements;

10. Bringing on the first wave of programs;
11. Measuring impact based on established goals and tweaking the system;
12. Bringing on subsequent waves of programs;
13. Measuring impact based on established goals and tweaking the system;
14. Fully integrating the initiative;
15. Measuring impact based on established goals; and
16. Celebrating success.

This Work Text will help a state director successfully complete each of these TASKS.

FINAL WARNING: Rarely are program improvement plans linear. Rarely can you carry out the planning, implementation, and evaluation by sequentially proceeding through TASKS 1-16 in that order. One of your first chores is to assemble your steering group and work through this handbook re-ordering the TASKS and adding others to fit the program improvement initiative you are undertaking. The Handbook, thus, is a guide not a prescription.

How to Use This Guide

By completing the NAEPDC State Director's *Self Assessment*, from feedback from the federal office, and/or from an evaluation you have conducted, you have identified one of your systems or functions (e.g., staff development system, data/accountability system, coordinating funding streams) that needs to be improved. Where do you go from there?

This fill-in-the-blank Guide will help you plan, implement, and evaluate the steps to implement a program improvement plan that addresses that need.

Read through the entire book one time. As the WARNING listed earlier signifies, rarely will you proceed from TASK 1-16. By reading through the book one time, your intuition will lead you to rearrange the TASKs to suit your system and your preferences.

Put together a small steering workgroup that includes practitioners and partners who have expertise in the area from your staff, local practitioners, and partner agency representatives. Their task is to help you fill in the blanks.

Be sure to keep your boss informed throughout the process. Set a regular schedule to report on what has been accomplished and what is happening next.

The following pages can be amended and rearranged to suit your needs. Feel free to amend the pages and processes to suit your needs.

The Guide is available on disk from NAEPDC. It is free to the members. For non-members, the disk is available for a reasonable price from the NAEPDC office..

(Cover Page)

The State of _____

Adult Education and Literacy Program Improvement Guide

The purpose of this guide is to make significant improvements in the following state program management and/or leadership system.

_____ (system to be addressed) _____
(e.g., staff development system, data/accountability system, coordinating funding streams)

Steering Group Members

- Xxxxxxxxxx, representing xxxxxxxxxxxx
- Xxxxxxxxxx, representing xxxxxxxxxxxx
- Xxxxxxxxxx, representing xxxxxxxxxxxx
- Xxxxxxxxxx, representing xxxxxxxxxxxx
- Xxxxxxxxxx, representing xxxxxxxxxxxx

TASK 1. Engaging Practitioners and Partners in identifying and Clarifying the System Components That Need Improvement


Involve others in helping you identify and clarify the system components that need improvement.

A few principles apply:


- Identify the practitioners and partners (representatives from other government agencies or the private sector) who can help you identify and clarify what needs to be improved and solicit complementary funding. Don't forget your staff members.
- Often partners have only surface knowledge of our program target populations, issues, staffing, and funding levels; all of which are important for them to know if they are going to be wise counsels. A briefing of partners is an important strategy.
- As a beginning point, ask practitioners to detail the "ideal" system and use that ideal as a frame of reference to begin analyzing the current system.
- Identify the parts of the old system that are working well. You rarely need to throw out everything you are doing so part of the process is to identify the pieces to keep and those that merely need some reshaping.
- Specify what components of the old system need to be improved and what the new system will do for you. Be as specific as possible about the outcomes you need. This specificity will help you find new components.
- If your program improvement initiative involves a brand new concept or system, versus reshaping an existing system, use your steering committee to develop the vision for your initiative (TASK 2).

A. SUGGESTION: Think about those practitioners in your state who are most knowledgeable about the subject area. In addition to adult education practitioners, consider colleagues in partner agencies (HHS, Labor, Aging) or non-governmental organizations that have expertise or interest. Are there other agencies who would benefit from your program improvement initiative? Are there other state adult education programs that would be interested in partnering with you? Would they be willing to share the cost? How about university faculty who are able to talk with practitioners? Consider adult learners, especially if you have a Learner Leadership group in your state. If you need experienced practitioners from other states, contact the NAEPDC for suggestions.

Completion Date	
Planned	Actual

 First, in the table below, pencil in the categories of practitioners and partners you want to be sure are included.

Practitioners	Partners

 Second, go back and put in a person's name for each category--the best person you know or can find in that category.

B. Use your steering committee to help you specify what components of the old system need to be improved. You may not want to throw out everything you are doing now so part of the process is to identify the pieces to keep and those that need reshaping.

Completion Date	
Planned	Actual

Program Improvement System: (enter the system you are working on)	
Components That Are Working	Components That Need Reshaped

You will know you have been successful in TASK 1 if.....

TASK 2. Setting a Vision for Your Program Improvement Initiative



“If you don’t know where you are going, you can’t get lost.” Conversely, you will not know when you get there either. Based on the original needs identified in TASK 1, set clear goal statements so everyone will know where they are going and you can justify spending the time and the money to engage in this program improvement activity.

A few principles apply:

- Specify the goals, outcomes, and/or expectations (choose all that meet your planning style). The clearer the specification, the easier job the pilot sites and early adopters will have. The clearer the specification, the easier job you will have in developing costs and budget projections (TASK 4).
 - Now is the time to plan your evaluation of the impact of the program improvement initiative (TASK 15). The impact evaluation report will give you the information you will need to justify the expenditure of funds and time and will help you sell your boss and the field on the next program improvement initiative you need to instigate. This task needs to be assigned early so it can transcend the project. Do not wait until the end of the project to work on the evaluation.
- A. What do you hope to accomplish with your program improvement initiative? What will it do? What are your goals? The clearer the specification, the easier job the pilot sites and early adopters will have. The clearer the specification, the easier job you will have in developing costs and budget projections (TASK 4).

Your steering committee is a good group to help with this process--a necessity if partners are providing funding. Or you may prefer for this to be a staff function. If so, dedicate sufficient staff time to this task. You may wish to do both. The steering committee could make recommendations to the staff who would make the final recommendations to you.

Completion Date	
Planned	Actual

GOAL STATEMENTS	
When we are finished, this system will do the following things:	
1.	
2.	
3.	
4.	
5.	
6.	
7.	


B. Now is the time to plan your evaluation of the impact of the program improvement initiative (TASK 15). Decide who will do the evaluation report. It needs to be someone's responsibility so the data will be collected throughout the process and the report written in TASK 15. Plan TASK 15 now.

The impact evaluation report will give you the information you will need to justify the expenditure of funds and time, and it will help you sell your boss and the field on the next program improvement initiative you need to instigate. This task needs to be assigned early so it can transcend the project. Do not wait until the end of the project to work on the evaluation.

When determining who will do the evaluation report, you have several options.

- If you have a staff person who is good in formative and summative evaluation, you can make a staff assignment.
- Universities and private consulting firms have specialists who do evaluations every day. It is worth the investment to get a good evaluation.
- Your Department may have evaluation specialists that can do a study for you. Check to see if they might be available to you.

The following person/s will do the evaluation report:	Completion Date	
	Planned	Actual

-  Based on the goals listed in Part A, develop evaluation criteria for each and copy those under TASK 11, TASK 13 and TASK 15.

	Completion Date	
	Planned	Actual
Goals	Evaluation Criteria	
1.		
2.		
3.		
4.		
5.		
6.		

You will know you have been successful in TASK 2 if

TASK 3. Gathering and Selecting Promising Alternatives and/or Options for Addressing the Need


If you have a system that is not working at optimum and you have identified the weaknesses or if you need a brand new system, how do you find out if there are promising alternatives already developed? What do you do if there are no promising alternatives, and you are faced with developing an initiative from the ground floor up? What are your options?

A few principles apply:

- Select all the sources for alternatives that seem applicable and call the NAEPDC for the latest updates.
- Don't forget to consider parallel and related fields, such as library literacy, human resource development, cooperative extension, corrections, and ASTD.
- From each source, get as much information as possible about their proposed solution.
- Talk with other State Directors to get referrals to state staff and contractors who may have detailed information.
- If you find there is no match between your initiative and existing alternatives, you are faced with developing alternatives from the ground up. This research and development process is time and energy consuming. Carefully consider partnering with other agencies or other states, developing adequate financial resources, locating expertise in adult education research and development, living with extended timelines, and securing available staff and/or contracted services.

Let's begin first with exploring possible alternatives. There are a variety of sources for finding alternatives like those listed below:

- other State Directors and state staff members
- state resource centers
- the National Center for the Study of Adult Literacy and Learning
- the National Institute for Literacy and their LINC's Hubs
- the National Center for Adult Literacy
- the National Center for Family Literacy
- the National Center for Learning Disabilities
- NAEPDC
- National Reading Association
- American Society for Training and Development (ASTD)
- Cooperative Extension Service
- Other adult education and/or training organization or institution
- Partners (One-Stop, social services, etc.) state and national resources.

- A.  List the most appropriate sources from which your workgroup can obtain promising practices that will address the need and make your system move toward your goals and expectations.


Completion Date	
Planned	Actual

Sources for Alternatives
1.
2.
3.
4.
5.
6.



- B. Collect and evaluate the alternatives. Your steering committee may need to invite others in to give opinions regarding the viability of some of the alternatives. Divide up the list of sources and have each steering committee member gather detailed information and evaluate what they find for three or four sources.

Completion Date	
Planned	Actual

Member's Name	Sources to Check
1.	
2.	
3.	
4.	
5.	
6.	

C.  Select the alternatives that seem to address the needs and the state. List below.

		Completion Date	
		Planned	Actual

D.  Identify likely adaptations for each alternative selected in C above to make it fit.  List below.

		Completion Date	
		Planned	Actual

Possible Alternatives	Necessary Adaptations

☛ **DECISION:** After you evaluate the alternatives and adaptations, you will need to decide:

- ❑ **OPTION 1:** whether one of the alternatives, with appropriate adaptations, will allow you to achieve your proposed system; or
- ❑ **OPTION 2:** whether your program improvement initiative will require the development of a brand new system.

If OPTION 1 seems appropriate, proceed with step E.

E. Determine which alternative (with the appropriate adaptations) from the ones you listed best matches your goals and expectations (TASK 2).

Develop a Pilot Study Guide to inform pilot sites of your goals and your expectations.

Completion Date	
Planned	Actual

If OPTION 2 seems appropriate...

If there appears to be no available alternative that adequately reflects the vision (goals) of your program improvement initiative, you are faced with a ***research and development project***. Your steering committee should consider the following questions very carefully:

- Are there other agencies or states that would be interested in working together on this initiative to share the expenses, development work, etc.?
- Do you have adequate financial resources to support the research and development that will be necessary for such an endeavor? If not, can you put together a convincing platform to support additional funding from your state legislature?
- Does your agency have, or can it obtain, the necessary adult education research expertise required for the effective development of your initiative?
- Do you have capable staff or can you contract for the actual development piece of the initiative?
- Does the possible extended timeline that will result from the development phase create any potential problems for implementation?

If these questions can be addressed satisfactorily, you are ready to proceed to TASK 4.

You will know you have been successful with TASK 3 if.....

TASK 4. Costing And Budgeting The Program Improvement Initiative

- A. You will no doubt return to and update this page periodically as the project unfolds.
Hint: use a pencil.

Based on the alternatives and adaptations you have selected for your program improvement initiative in TASK 3, determine the costs for:

Completion Date	
Planned	Actual

Expenditures	Projected Funding Needs		
	Title II State Leadership	Title II Section 231	Partner's Funds
Steering committee expenses			
Research			
Development work			
Pilot testing			
Staff development costs			
Other staff support costs			
Incentive grants or other support for the first wave			
Support for the second and subsequent waves			
Data collection and evaluation to determine impact			
Other:			
Other:			
Other:			
Other:			
Total			

If funding is going to be shared among agencies or states, develop memorandums of agreement that outline each party's performance and financial responsibilities.

B. When you complete your benchmarks in TASK 5, come back to this section and develop a budget to project the funds needed for each segment.

Completion Date	
Planned	Actual

Project Interval	Funding Needs	To pay for:
First six months	\$	
Second six months	\$	
Third six months	\$	
Fourth six months	\$	
Fifth six months	\$	

You will know you have been successful with TASK 4 if....

TASK 5. Setting Quarterly or Six Month Benchmarks

Often it is helpful to work through the entire Guide before you complete this section. By laying out six (or three) month benchmarks, everyone knows where you are going, you know when to have funding available to support the various elements, and you can monitor your progress. You may return to this page to reset the benchmarks, as the initiative goes through its phases. Flexibility is a good thing.

Completion Date	
Planned	Actual

Bench Marks	
Benchmark Date	By this date, the following activities will be completed:
1.	
2.	
3.	
4.	
5.	
6.	

Assignment: Go back to TASK 4 (budget) and check your budget to ensure that you will have enough money available for each segment.


You will know you have been successful with TASK 5 if...

TASK 6. Piloting and Adapting Those Alternatives and/or Options to Fit Your State and its Systems

Few program improvement alternatives will fit your state exactly. By piloting the alternative in two or more localities, your practitioners can help you adapt it to fit your systems. You also develop spokespersons to help you sell the change.


A few principles apply:

- Select your best program(s) in which to pilot test. You want your best chance of success. Some of your colleagues argue that the "best" program for a pilot is the most instructionally successful program with the best trained teachers--therefore the pilot test does not get bogged down by other extraneous variables. Others of your colleagues argue that the "best" pilot site is the most "representative" program--therefore you will be able to determine what it takes to implement this initiative in a "normal" program with all of its strengths and limitations. You be the judge.
- You may only need two or three teachers from each program.
- Select appropriate varieties of programs (e.g., rural and urban, ABE and ESL, learning center and satellite class) to adapt the alternative. You may need to develop somewhat different guidelines for each variety of program.
- Identify staff support for the pilot sites. If you have staff expertise in the area, assign a staff person to provide the handholding and the technical assistance for the pilots. If you do not have staff, a consultant from your state or another state's staff could fill the bill.
- Establish financial support for the pilot sites. In order to adapt the alternative, the pilot site staff members will need to meet periodically to compare notes, propose and test adaptations, develop the guidelines for other local programs, and develop training packages. They will need the financial resources to provide you with the information you need.
- Acknowledge and reward the pilot sites. At your annual conference or summer institute, acknowledge the work of the pilot site staff members and give them the opportunity to present a session on what it takes to be a pilot site (in hopes of encouraging other local programs will volunteer in the future).

- A. Select your best program(s) in which to pilot test. Think about the alternative you want to pilot test. Develop some criteria for making the determination. Which are your strongest programs? Ask your staff members.  List as many as come to mind in the following chart:

Completion Date	
Planned	Actual

Potential Pilot Sites	
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	

B. Classify the selected programs (rural and urban, ABE and ESL, learning center and satellite class) to ensure that you have your desired mix of pilot sites. Will implementation be different with different kinds of programs? If so,  list the category of program and a number of local programs that would make good pilots under each.

Completion Date	
Planned	Actual

Type A:	Type B:	Type C:
1.	1.	1.
2.	2.	2.
3.	3.	3.

C. Identify staff support for the pilot sites. If you have staff expertise in the area, assign a staff person to provide the handholding and the technical assistance for the pilots. If you do not have staff, a consultant from your state or another state's staff could fill the bill.

Whom do you have who knows this subject well enough to guide the pilot sites without pushing them? Do you have someone on staff? If so, can you rework duties to give him or her the time to guide the pilots? If not, is there a university person who could consult? Can NAEPDC identify a staff person from another adult education state staff with the expertise and facilitation skills?

Completion Date	
Planned	Actual

 List the options you have for staff support and select one or more.

- D.** Establish financial support for the pilot sites. In order to adapt the alternative, the pilot site staff members will need to meet periodically to compare notes, propose and test adaptations, develop the guidelines for other local programs, and develop training packages. They will need the financial resources to provide you with the information you need.

You will want the teachers in each site to meet weekly to share notes and make adaptations. You will want the staff support consultant to meet monthly with the pilot's program manager and teachers. If you have more than one pilot site, you will want them to meet together face-to-face to compare notes. You are asking teachers to collect and analyze data in order to make sound judgments regarding adaptations. Thus, you will want to include data development time.

Production costs for developing and printing guidelines and training materials is a factor, also. If you want the program manager and/or teachers to train other practitioners, you should include the training cost unless it is covered by your Resource Center budget.


Identify funding needs and sources (Title II, Partners, etc.).

Completion Date	
Planned	Actual

Expenditures/Rates	Funding Needed And Source (Title II, Partner, Other)
1. Staff cost: <ul style="list-style-type: none"> • Teachers teaching • Teachers meeting • Program Manager 	\$ \$ \$
2. Record keeping and data development ___ teachers X ___ hours/month X \$ ___/hour	\$
3. Production and printing costs	\$
4. Supplies/materials	\$
5. Training cost	\$
6. Data and Evaluation	\$
7. Other	\$
Total	

Assignment: Go back to TASK 4 (budget) and check your budget to ensure that you will have enough money for the pilot sites.

E. Acknowledge and reward the pilot sites. At your annual conference or summer institute, acknowledge the work of the pilot site staff and give them the opportunity to present a session on what it takes to be a pilot site (in hopes of encouraging other local programs will volunteer in the future).

 What venues do you have to acknowledge and reward the pilot sites? Whom do you contact to get the celebration on the agenda? Can you assign the celebration to a staff member to facilitate?

Completion Date	
Planned	Actual

Venues and Contact Persons
1.
2.
3.
Staff member or other to follow through:

You will know you have been successful with TASK 6 if

TASK 7. Linking Your Initiative to Other State Initiatives to Gain Political Support

A wise strategy for adult educators is linking a program improvement initiative to other state initiatives for several reasons:

- Within your agency, it gives you the opportunity to demonstrate that you are contributing to the agency's mission. This recognition is no minor accomplishment because too often agency heads and board members wonder why adult education and literacy is a part of the agency.
- With another agency, it gives you visibility and linkage outside your agency. By helping another agency accomplish its mission, you open doors for further collaboration.
- Inside and outside your agency, you create opportunities to share resources, financial and support when you connect initiatives.
- You do not run your program in isolation. Being known as a team player incites others to come to you when one of their initiatives impact adult education.

Linkages may include developing a memorandum of agreement, asking representatives of the other initiative to serve on your planning group, co-publishing announcements, cross-training, and cost sharing. The linkages will vary with the initiative. The important point is to make the link.

A few principles apply:

- Once you have outlined the goals of your program improvement initiative, identify other state initiatives that complement your initiative. There may be more than one.
- Identify the leadership associated with each initiative—including the highest ranking policy person and the program manager who oversees the initiative.
- Learn all you can about the initiative. Develop a maximum two page brief describing the mission, goals, objectives, the overlap of common interest, possible areas of collaboration, and possible mutual benefit.
- Notify your chain of command of your intentions.
- Meet with the initiative leadership to discuss collaboration opportunities.
- Formalize initiative linkages.
- Notify your chain of command of the results.

A. Planning your initiative linkages

Once you have outlined the goals of your program improvement initiative, identify other state initiatives that complement your initiative. There may be more than one. Survey your key contacts to inform them of your plans and seek help in identifying complementary initiatives within the agency and in other agencies. Consider the following sources:


Completion Date	
Planned	Actual

Sources	Who Will Contact This Source	Complementary Initiatives This Source Identified
Your chain of command in your agency and other agency staff who may have a complementary initiative		
Practitioner advisory group		
Interagency workgroup or advisory committee, e.g., State Workforce Board, Welfare Reform Workgroup, other state boards.		

Sources	Who Will Contact This Source	Complementary Initiatives This Source Identified
Your staff		
Steering committees 1. 2. 3.		
Other:		


B. Identify the leadership associated with that initiative—including the highest ranking policy person and the program manager who oversees the initiative. Identify key staff. Some of these you may have identified in TASK 1 as partners to help you clarify the need.

Completion Date	
Planned	Actual


Initiative:  List each initiative selected from the previous table	Key Policy Contact: Phone number/e-mail	Key Programmatic Contact: Phone number/e-mail

- C. Learn all you can about the initiative. Develop a maximum two page brief describing the mission, goals, objectives, the overlap of common interest, possible areas of collaboration, and possible mutual benefit.

Completion Date	
Planned	Actual

 **Obtaining the information:** Usually a phone call will do to get the information you need. You, a staff person, your secretary, or members of the steering committee can call, express an interest in the initiative, and ask for information, copies of brochures, planning documents, reports, etc.

Whom to Assign	For Which Initiative

 **Finding the overlap and planning the possibilities:** If you have established a steering group to guide your initiative, this is a good assignment for them. If not, it could be a staff assignment. Who will analyze each initiative and prepare the maximum two-page briefs?

Whom to Assign	For Which Initiative

- D. Notify your chain of command of your intentions. Your boss needs to know what you are doing. So, once you have selected the possible initiative linkages and prepared the briefs, go over your plans with your boss and give him or her enough copies to distribute up the line if he or she sees fit.

Completion Date	
Planned	Actual

- E.** Meet with the initiative leadership to discuss collaboration opportunities. If you have more than one possible initiative linkage, you have at least two choices: meet with each individually or meet together as a policy working group.

Completion Date	
Planned	Actual

For each possible initiative linkage:

- ➔ Set up a meeting with policy and program leadership;

- ➔ Depending on your comfort with these potential partners, either
 - Send background brief of your initiative along with the two page brief ahead of time for them to read over, or
 - Prepare a presentation and hand out the briefs at the meeting;

- ➔ Schedule the meeting.

- F.** Formalize initiative linkages. This formalization usually entails the development of a memorandum of agreement detailing the contributions of each. If interagency funding is involved, other documents may follow. List the MOUs below:

Completion Date	
Planned	Actual

- G.** Notify your chain of command of the results. If memoranda of agreement requires agency head signature, your chain of command will be informed about your work. Nonetheless, a briefing with your boss once the arrangements are set is a wise strategy.

Completion Date	
Planned	Actual

You will know you have been successful with TASK 7 if

TASK 8. Designing and Placing Staff Development Requirements

No initiative goes very far or is maintained over time unless practitioners are trained to integrate the new initiative into the existing operating systems. Planning and budgeting that implementation training is a critical task. Depending on the initiative, you have several options for preparing the staff.

A few principles apply:

- To develop and field test the training packages, you can use your pilot site personnel, your Learning Resource Center personnel, private consultants or others.
- Training should include strategies for adapting the initiative to the local rather than simply adopting it. There are many differences in programs. If your training acknowledges and supports those differences, your local “buy-in” is enhanced.
- Use your pilots as trainers or to train a cadre of trainers.
- Whether you decide whether to bring programs on in waves or to bring all local programs on immediately after the pilots will impact your training planning and budget. Bringing other local programs on in waves can spread out your training costs.
- When partnering, be sure to train key staff in the partner's program.

Options for Preparing the Staff	Completion Date	
	Planned	Actual
A. To develop and field test the training packages, you can use your pilot site personnel, your Learning Resource Center personnel, private consultants or others.		
• Decision: Who will develop and field test the implementation training packages?		
B. Training should include strategies for <u>adapting</u> the initiative to the local rather than simply <u>adopting</u> it. There are many differences in programs. If your training acknowledges and supports those differences, your local “buy-in” is enhanced.		
• Include in the training preparation contract "adaptation" language		
(other)		
C. Use your pilots (a) as trainers or (b) train a cadre of trainers.		
• Decision: Who will deliver the training?		
(other)		

<p>D. Whether you decide whether to bring programs on in waves or to bring all local programs on immediately after the pilots will impact your training planning and budget. Bringing other local programs on in waves can spread out your training costs.</p>		
<p>☛ Decision: After the pilots are complete, are you going to bring in the other local programs in waves or all at one time?</p>		
<p>☛ Based on that decision, develop a training timetable and budget and attach it to this TASK page.</p>		
<p>☛ Decision: Is the training budget a (a) separate budget or (b) part of the Learning Resource Center budget? (other)</p>		

TASK 9. Designing and Placing the Support and Resource Requirements

No initiative goes very far or is maintained over time unless the policy support system and the resources are in place to support the changes you are trying to imbed in your system. Part A of this TASK looks at the “Policy Support Resources” which examines how to align current policy to support the initiative.

Part B of this TASK focuses on the other resources localities need to support implementation of the initiative.

Depending on the initiative, you have several options in preparing for implementation.

PART A: POLICY ALIGNMENT

A few principles apply preparing policy support:

- Use your pilot sites to identify the current policies that inhibit or interfere with the implementation of the improvements in the system and to recommend possible new policy language.
- It is the state office's responsibility to develop and disseminate policy. If you have staff, have them use the recommendations from the pilots to prepare changes in guidelines and administrative manuals and prepare written guidance for "unwritten policies"--"the way we have always done it."
- When partnering, develop written operational procedures and clear written program guidance for interagency staff.
- Review proposed policy changes with the pilot sites to ensure that they will indeed support the initiative.
- Prepare documentation for local programs that communicate the changes in policy.

A. Planning your policy support resources	Completion Date	
	Planned	Actual
1. Use your pilot sites to identify the current policies that inhibit or interfere with the implementation of the improvements in the system and to recommend possible new policy language.		
✓ In the orientation training for the pilot, include a		

process for including policy evaluation as a part of their pilot staff/workgroup staff meetings.		
✓ Assign a staff contact person to receive the recommendations regarding policy changes.		
(other)		
2. It is the state office's responsibility to develop and disseminate policy. If you have staff, have them use the recommendations from the pilots to prepare changes in guidelines and administrative manuals and prepare written guidance for "unwritten policies"--"the way we have always done it."		
✓ Half way through the pilot project time period, conduct a staff meeting to review policy changes and assign development of policy revisions. Assign staff to review proposed changes with pilot sites.		
✓ Two thirds way through the pilot project time period, conduct a staff meeting to draft final policy changes. Assign staff to review proposed changes with pilot sites.		
(other)		
	Completion Date	
	Planned	Actual
3. Review proposed policy changes with the pilot sites to ensure that they will indeed support the initiative.		
✓ After each policy revision in the previous section, review with the pilot sites for clarity and positive impact.		
(other)		
4. Prepare documentation for local programs that communicate the changes in policy		
✓ Submit policy changes to your boss for review and, following approval, prepare for distribution to first wave programs.		
(other)		

PART B: RESOURCE ALIGNMENT

A few principles apply to resource support:

- Use your pilot sites to identify the additional resources (e.g., instructional materials, computer systems, software, management materials) that are required for the implementation to be a success.
- Prepare documentation for local programs that communicate the additions.
- Budget for those resources as each local program adopts the initiative.

B. Planning your resource support	Completion Date	
	Planned	Actual
1. Use your pilot sites to identify the additional resources (e.g., instructional materials, computer systems, software, management materials) that are required for the implementation to be a success.		
➤ In your solicitation for pilots, include the requirement that the pilot sites prepare a resource list as a part of the training package.		
2. Prepare documentation for local programs that communicate the additions.		
➤ Assign a staff member the responsibility of collecting the recommendations from the pilots, developing financial impact analysis, and reporting those needs to you in preparation for the budget development for subsequent waves of implementation.		
(other)		
3. Budget for those resources as each local program adopts the initiative.		
➤ Develop the budget categories necessary to support local adoption.		
➤ Communicate the budget requirements to your boss.		

You will know you have been successful with TASK 9 if.....

TASK 10. Bringing on the First Wave of Programs

At this point your pilots have adapted the parts of the new strategy to complement your current system, the training packages are developed, and you have the policy and resource support in place. You are ready to begin the first wave of implementation (the first wave may be the entire state or a portion thereof).

Some principles apply:

- Selecting the first wave can be done several ways depending upon your contracting policies and agency regulations. Options include some of the following:
 - Your staff can select those programs that are the opinion leaders or most progressive (early adopters) so they will influence others to follow.
 - You can solicit via RFP or other solicitation local programs that "want" the innovation.
 - You can solicit via RFP and offer incentives to entice a number of programs to take the lead.
 - You can mandate compliance and select the first group to participate.
- Implicit and explicit rewards are a part of bringing on new adopters. In addition to funding which provides extra time for staff to get together to plan integration of the new strategies into their systems and the recognition of being "chosen" to participate, recognition in state newsletters, hosting neighboring programs to see the new strategy at work, or commendation to the local CEO for the staff being on the cutting edge all support participation.
- Ensure that the training and the resource supports are there to make the adaptation and integration of the new strategies as effortless as possible.

- A. Selecting the first wave can be done several ways depending upon your contracting policies and agency regulations. Involve the steering committee in a discussion regarding which option of selecting first wave sites supports your initiative. Those options include some of the following:

Check one ✓	Options for Selecting the First Wave	Completion Date	
		Planned	Actual
	Your staff can select those programs that are the opinion leaders or most progressive (early adopters) so they will influence others to follow.		
	You can solicit via RFP or other solicitation local programs who "want" the innovation.		
	You can solicit via RFP and offer incentives to entice a number of programs to take the lead.		
	You can mandate compliance and select the first group to participate.		
	Other:		

- B. Based on your experiences with the pilot sites, make sure that you have carefully planned and secured the necessary funding to bring on the first wave.

Funding for the First Wave	Completion Date	
	Planned	Actual
➤ Plan budget resources to support the decision in "A" above and clear the process with your boss and the financial office.		
➤ Set up funding process (e.g., grant application, RFP) and develop the solicitation materials.		

- C. Implicit and explicit rewards are a part of bringing on new adopters. In addition to funding which provides extra time for staff to get together to plan integration of the new strategies into their systems and the recognition of being "chosen" to participate, recognition in state newsletters, hosting neighboring programs to see the new strategy at work, or commendation to the local CEO for the staff being on the cutting edge all support participation.

After the Local Programs are Selected	Completion Date	
	Planned	Actual
➤ Send a letter to the local CEO (superintendent or community college president), state representative and senator, praising the leadership the local manager and teachers are taking with this continuous improvement initiative.		
➤ Issue a news release to the local news media praising the leadership of the local CEO, manager, and teachers and detailing the initiative and how it will improve the quality of the adult education services in the area.		

After the Adoption Year	Completion Date	
	Planned	Actual
➤ Host a culmination event at your annual state-wide professional association conference, your summer institutes, or other state wide meetings.		
➤ Provide high quality signage (engraved plaques, large posters, or framed certificates) for new adopters to display at their program site.		

D. Ensure that the training and the resource supports are there to make the integration of the new strategies as effortless as possible.

<i>Incentives in the form of resource people (from the pilots or from state staff) help the staff think through their options and make good decisions.</i>	Completion Date	
	Planned	Actual
➤ Assign the staff person who has been supporting the pilot sites to support the first wave adopter sites.		
➤ Contract with the pilot site staff members to mentor the adopter sites in their geographic area.		
➤ Check TASKS 8 and 9 to ensure that training and other resources are in place.		

You will know if you have been successful with TASK 10 if....

TASK 11. Measuring Impact Based on Established Goals and Tweaking the System

All of the local programs in your state are probably not alike. Some are more forward thinking, some have stronger program managers' leadership, some are urban, some rural, some largely ESL and some with few ESL students. No matter how well your pilots adapted the system to fit, they cannot anticipate everything. Therefore, the first wave is not simply an "implementation" wave; it requires the first wave local programs to go through an abbreviated pilot process.

During the first year of implementation, the staff will need to meet regularly to measure their success against the established goals and tweak the system to fit their work in their locality—and the tweaking may be different for a learning center, a satellite class, a home study program, and other delivery systems.

A few principles apply:

- Resources in the form of staff development funds allow first wave staff to adapt the system, monitor the impact, and ensure it fits their delivery system.
- Incentives in the form of resource people (from the pilots or from state staff) help the staff think through their options and make good decisions.

Planning your first wave measuring and tweaking support		Completion Date	
		Planned	Actual
A. Resources in the form of staff development funds allow local staff to adapt the system, monitor the impact, and ensure it fits their delivery system.			
Choose and incorporate an option:			
✓	Build funds into your Resource Center or State Leadership funds to support the extra staff development adopter sites' need to measure success and adapt the system.		
	In your RFP (82.5% funds), include funds to support the extra staff development first wave sites need to measure success and adapt the system.		

<p>B. Incentives in the form of resource people (from the pilots or from state staff) help the staff think through their options and make good decisions.</p>		
<p>Incentive Strategies</p>		
<ul style="list-style-type: none"> ➤ Assign the staff person who has been supporting the pilot site to support the first wave adopter sites. 		
<ul style="list-style-type: none"> ➤ Contract with the pilot site staff members to mentor the adopter sites in their geographic area 		

You will know you have been successful with TASK 11 if...

TASK 12. Bringing on Subsequent Waves of Programs

Depending on the complexity of the initiative and the staff development and support personnel you have available, you can plan your second wave for three months, six months, or a year after the first. Once you, with the advice of the steering committee, make that decision, the second wave steps are similar to and informed by the first wave.

If the innovation is really complex, you will need the input from a small first wave to make adaptations, and adjust staff development and support resources.

DECISION: Choose the timed delay between the first wave and subsequent waves.		Completion Date	
		Planned	Actual
✓			
	No delay – state-wide on the first wave		
	Six-month delay		
	Eight-month delay		
	Twelve-month delay		

At this point your first wave of adopters are in the process or have implemented the program improvement initiative and have tweaked the system further to adapt it to a variety of localities. You have tweaked the staff development system, the resource support, the policy support, and are ready for the next wave of adopters.

(If you choose a second wave, simply repeat the steps in TASK 10)

You will know you have been successful with TASK 12 if...

TASK 13. Measuring Impact Based on Established Goals and Tweaking the System--Second Wave

(If you choose multiple waves, repeat the steps in TASK 11)

You will know you have been successful with TASK 13 if...

TASK 14. Fully Integrating the Initiative

At this point you should have a fully integrated program improvement initiative. Take some time with your steering committee to work back through this document, examining all of the decisions you made, and noting how you will do things differently the next time you plan and implement a program improvement initiative.

Completion Date	
Planned	Actual

Next time we will do the following things differently:
1.
2.
3.
4.
5.

Sharing what you learned:

- ✓ Send recommendations for improving this Guide to NAEPDC so they can make the needed revisions, additions, or deletions.

You will know you have been successful with TASK 14 if....

TASK 15. Measuring Impact Based to Established Goals

To complete the cycle, publish a brief report with executive summary to establish the impact of the program improvement initiative on the established goals. You set the entire evaluation study up in TASK 2 so TASK 15 should merely be receiving the evaluation report and sending copies to appropriate audiences.

The report serves two purposes. First, it is presented to your boss and the leadership in the field to show that you are a good manager making good decisions and the time and effort spent on this program improvement initiative was a good idea. Second, it sets up your next improvement initiative. A good evaluation report makes it easier for your boss and the field to support the next improvement in the continuous improvement series.

Evaluation Report	Completion Date	
	Planned	Actual
➤ Received the evaluation report and executive summary		
➤ Reviewed the report with your boss		
➤ Sent the report to the leadership in the field		
➤ Published the findings in the State adult education newsletter		

You will know you have been successful with TASK 15 if....

TASK 16. Celebrating Success

The purpose of the celebration is to thank all of the participants in the process. A state-wide meeting is a perfect place for such a celebration. Your boss receives an award for supporting the change process. The pilots get an award for taking the lead. Each wave gets an award for tweaking the system and making it better.

We do not celebrate our accomplishments often enough. Everybody likes to celebrate. Everybody likes to be recognized. You like to recognize those that help you and set the stage for their support when the next system needs attention.

It is better to give credit than take it, but take some time to pat yourself on the back also.

Preparing Venues for Celebration		Completion Date	
Venue	Staff Lead	Planned	Actual
A.			
B.			
C.			

You will know you have been successful with TASK 16 if...

CONGRATULATIONS!!!!