

Supporting Implementation of Data-based Individualization: Lessons Learned from NCII's First Five Years

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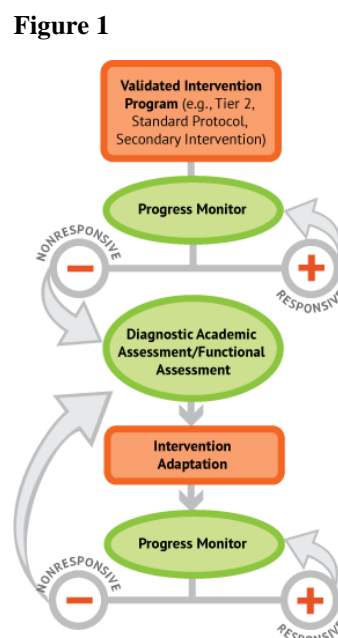
Introduction

The Office of Special Education Programs (OSEP) in the U.S. Department of Education funded the National Center on Intensive Intervention (NCII, or the Center) in 2011. NCII’s mission during the first five years of funding was to build the capacity of local education agencies (LEAs) to support schools, practitioners, and other stakeholders in the implementation of intensive intervention in reading, mathematics, and behavior for students with severe and persistent learning and/or behavioral needs. The purpose of this document is to provide an overview of the Center’s accomplishments during the initial funding cycle and to highlight a set of lessons learned from the 26 schools that implemented intensive intervention while receiving technical support from the Center. First, we provide a description of NCII’s approach to intensive intervention and summarize the Center’s initial technical assistance efforts. Next, we describe our methodology and outline the lessons learned from the implementation sites. Then, we offer guidance for practitioners who are interested in implementing intensive intervention. Finally, we close with an overview of NCII’s plans for building upon this work over the next five years.

NCII’s Approach to Intensive Intervention—Data-Based Individualization

Students with disabilities who have demonstrated poor response to previous efforts to remediate severe and persistent academic and behavior difficulties are in need of interventions that are more intensive and individualized. NCII’s approach for meeting the needs of this group of students is data-based individualization (DBI). DBI is a systematic method for intensifying interventions by using data to determine when and how to make adaptations that will enhance the likelihood of positive student outcomes. DBI is rooted in research conducted on data-based program modification and experimental teaching initiated by Stan Deno and Phyllis Mirkin at the University of Minnesota in the late 1970s (Deno & Mirkin, 1977). Twenty-five years of experimental research demonstrate that educators who implement DBI produce stronger student outcomes compared with those who do not (Fuchs & Fuchs, 1986; Fuchs, Fuchs, & Stecker, 2010; Fuchs, Fuchs, & Vaughn, 2014). Readers who would like to learn more are encouraged to download [Data-Based Individualization: A Framework for Individualization](#) from NCII’s website.

Figure 1 provides an overview of the DBI process that can be used to intensify academic and behavioral interventions. The first step is to select a *validated intervention program* that matches the student’s needs and to implement this intervention in a way that is more intensive than prior instruction (e.g., Tier 2 instruction or preceding interventions implemented in special education). As most students in need of DBI have previously participated in Tier 2 instruction, the initial implementation of the intervention can be made more intensive than prior instruction by reducing group size, increasing the duration or frequency of intervention sessions, or selecting an intervention program that addresses foundational skill deficits that were not being targeted by previous intervention



programs. Next, the instructor should select a valid, reliable *progress monitoring* measure that can be used to frequently (e.g., weekly) assess the student’s response to the intensified validated intervention program. NCII provides academic and behavioral [tools charts](#) for evaluating and selecting appropriate progress monitoring tools. A goal for the student to reach by the end of the intervention period should be set. Progress monitoring data should be graphed to evaluate student progress towards meeting the goal. NCII also provides both [academic](#) and [behavioral](#) student progress monitoring tools designed to help teachers collect and monitor data. If the student’s data indicate less than adequate response (e.g., four or more data points below the goal line), the instructor should administer a *diagnostic academic assessment or functional assessment* and use the information gained to guide *intervention adaptation*. The aim is to make changes to the intervention that will improve the student’s response. The adaptations should be integrated into the intervention, and the student’s progress should again be monitored. The cycle of evaluating response and integrating additional adaptations should be an ongoing process that is implemented until a student is making adequate progress to achieving the intended academic or behavioral outcome. For many students with disabilities, this process will likely be needed across academic years and possibly throughout students’ academic careers.

Technical Assistance Overview

During the first funding cycle, NCII provided three levels of technical assistance (TA) to relevant stakeholders. Intensive TA involved ongoing TA to staff at 26 schools (24 elementary and two middle schools) representing 12 LEAs in four states (Michigan, Missouri, Rhode Island, and Minnesota). All schools and districts received trainings in academic and/or behavioral content and also received approximately 10 hours of coaching a month per district during the school year. A total of 26 coaches have worked across the 12 LEAs since 2012, actively providing support to the NCII school and district teams in areas including but not limited to academic and behavioral progress monitoring, intervention design, implementation fidelity, capacity building and scale-up. Additional TA supports included the completion of annual TA plans that formed the basis of school and district goals related to DBI implementation for a given academic school year.

Targeted TA involved responding to periodic targeted TA requests from across the country for trainings, conference presentations, webinars, and consultation. *Universal TA* involved the broad dissemination of products and resources through the [NCII website](#). Many of these products were originally developed for use with the intensive TA sites, but then were adapted for use by a broader audience. Examples include DBI training modules (accompanied by coaching materials, handouts, guides, and extension activities), materials to use at student meetings, lesson plans and materials, a DBI implementation fidelity rubric, and tools charts of assessments and intervention programs.

Methodology

The purpose of this document is to provide guidance to practitioners who are considering implementing DBI. The data used to inform this guidance came from school districts that received intensive TA during the first five years of NCII. At the end of each academic year, NCII conducted ‘pulse-check’ visits at each campus. During these visits, two NCII staff members or advisors conducted interviews with members of the schools’ leadership and staff to discuss the

implementation of DBI and set goals for the next academic year. During the meetings, interviewers conducted a structured interview and completed a [DBI implementation rubric](#) to assess the school's progress in implementing DBI and to identify goals and targets for additional TA. A report summarizing the visit, rubric ratings, and recommendations for the upcoming year was submitted to NCII staff.

A team of three coders independently reviewed the pulse-check reports collected for each year of the project and identified examples of successful DBI implementation and indicators of facilitators of these successes. The team compiled the examples and met to prioritize those that the team believed had the greatest potential to provide guidance to practitioners aiming to implement DBI. For each campus or district in which a success was identified, NCII staff identified one or more school personnel who would be able to provide the team with additional detail on the successes. Structured interviews were developed for each school or district. The interviews were designed to elicit additional detail on the success story and to ask school and district personnel to provide guidance that could be useful for practitioners who also wanted to implement DBI. Two members of the team conducted each of the interviews by phone, which were recorded. Team members then listened to the interviews independently to provide additional descriptive information on the success stories. The team conducted a synthesis of the pulse-check data and interview notes to generate the guidance on implementing DBI that is presented next.

Lessons Learned

Across DBI implementation sites, we identified five general lessons that illustrate what school and district staff frequently identified as contributing to their successes in implementing DBI. We summarize each of these lessons next. We conclude with specific steps that practitioners can follow to get started with DBI implementation.

Lesson 1: Support from leadership is essential for successful implementation of DBI.

Strong support from staff members in leadership positions for integrating DBI into intervention services for students with severe and persistent learning and behavioral difficulties was viewed as an essential element to foster success. Across the intensive TA sites, various administrators provided this support. The specific role of the supportive leadership person varied across schools, with principals, special education directors, response to intervention/multi-tiered system of support (RTI/MTSS) coordinators, curriculum coordinators, and school psychologists leading DBI efforts. Teachers indicated that supportive leaders led to greater staff buy-in and they were able to ensure that connections between DBI implementation and other school district initiatives (i.e., RTI, MTSS) were made clear. Many staff members involved in intensive TA indicated that leadership support at both the school and district levels was important. District-level leaders were able to ensure that district resources were available to support DBI and that DBI efforts were explicitly connected to district initiatives. However, staff members also shared that a strong school-level leader was most able to provide daily support to ensure consistent, high-quality DBI implementation. Staff also indicated that when both general and special education leaders were supportive of efforts to integrate DBI, this facilitated broader staff buy-in, greater collaboration,

and more creative use of resources to meet the needs of students. Across a majority of sites, supportive leadership was perceived as facilitating successful integration of DBI by encouraging staff to commit to ongoing improvement efforts.

The important role a supportive leader can play is captured in this reflection from the director of student support services in one district who participated in intensive TA: “Get ready because it is hard work. Don’t think there is anything in this process that does not challenge your intellect...and professional knowledge. You need a level of commitment that even when it gets difficult, you will not sacrifice the time you’ve set aside or the direction that you’ve given in terms of implementation of intervention. This has to be a priority... The administrator has to be able and willing to commit resources... in order to be able to maintain fidelity to the plan.” In this district, the administrator was the driving force that motivated her teachers to take on the challenge of implementing DBI and who provided focused, encouraging leadership to support them along the way. Districts that are considering integrating DBI into their intervention services would be well served by ensuring that engaged, committed district and school leadership personnel are fronting the efforts.

Lesson 2: Solid Tier 1 and 2 foundations allowed school staff to focus efforts on DBI.

Many of the school staff we interviewed believed that it was easier for teachers to implement DBI when the school had already established high-quality instructional foundations and systematic processes for Tiers 1 and 2 of its RTI/MTSS systems. Embedding DBI into these systems fostered staff buy-in and facilitated communication by ensuring that common language was used to describe various levels of intervention, data, and general procedures. For example, school staff indicated that it was clearer when a student should receive DBI if there were established intervention and progress monitoring procedures in place at Tier 2. School personnel also indicated that when high-quality instruction was being provided at Tiers 1 and 2, it allowed teachers to focus on the needs of a smaller group of students who truly needed individualized instruction. For example, at one elementary school that the state had identified as failing, the school administrators made a concerted effort to improve reading instruction at Tiers 1 and 2 over the course of their second year of support from NCII. The school psychologist leading DBI integration described discussions about this decision and offered the following advice: “Start with being very reflective and very honest about where you are as a building. We had to start small and build that foundation first.” The team of staff responsible for DBI believed that strengthening Tiers 1 and 2 decreased the overall number of students in need of DBI; thus, allowing for a more manageable implementation of DBI the following year. Relatedly, an RTI coordinator at another school shared that “we were able to kind of tackle some things that should have been tackled in Tier 1 rather than try to put a bunch of interventions in place ... when it was really not a student issue, it was a systems issue... we could not jump into Tier 3 [DBI] when we didn’t have a process for Tier 1 or Tier 2.” In other words, she believed that devoting some time to ensuring that Tiers 1 and 2 were of sufficient quality allowed school staff to have a clearer focus when they began to implement DBI.

Lesson 3: Starting small and moving forward one step at a time facilitates success.

School staff who focused initial DBI implementation on a small number of students who had demonstrated poor response to previous remediation efforts believed that this deliberately focused approach to starting enabled their success. Many indicated that being realistic about current challenges, available resources, and personnel helped them design a feasible plan for integrating DBI into their intervention systems. In a majority of the intensive TA sites, school staff initially implemented DBI with only four to six students. School staff reported that this small-scale implementation allowed them to concentrate on understanding the DBI process and learning how to integrate the process into their instruction. School leaders expressed that not overcommitting in the early stages of DBI implementation was critical to ensuring that teachers were not overwhelmed or frustrated, and it allowed them to experience initial successes. As one RTI coordinator expressed, “Take your time through the stages of implementation. Focus on that exploration first. Make sure you understand why you’re doing this.”

Lesson 4: Formalizing procedures through standardized protocols helps ensure ongoing DBI implementation.

Several school districts established protocols (e.g., scripted meeting agendas) to systematize DBI procedures. A common concern underscored by one principal was that “when two or three people that spearhead a particular change or initiative, then no longer are involved with it...things kind of fall by the wayside.” Creating durable systems ensures that the responsibility or know-how is not placed on only a few key staff members and maintains the sustainability of the DBI process even if there is staff turnover. Relatedly, schools indicated the need to repeat professional development sessions every year or so to ensure that staff knowledge persisted even with turnover.

Another way many schools standardized aspects of implementation was to start the DBI process with a validated intervention program (e.g., standard protocol). Doing so allowed teachers to devote more efforts to intensification and individualization. In other words, starting with an established program that was implemented in a more intensive manner than previous remediation efforts was less burdensome and more efficient than designing an intervention from scratch. Using established interventions also improved the sustainability of the DBI process despite staff turnover.

Related to this, school personnel also indicated that establishing clear guidelines for determining which students would receive DBI and when adaptations would be implemented for these students was important. They emphasized that it is important to focus DBI meetings on instruction and adaptations, not solely on using data. Ensuring that staff are able to devote time to talking specifically about a student’s response to intervention and adaptations that could be made to interventions if that student demonstrated insufficient responsiveness was viewed as key to successful DBI implementation. Guidelines for implementing DBI also helped schools to sustain DBI processes even when staffing changed.

Lesson 5: Committing to trust the process led to successful DBI implementation.

A theme that was consistent across a majority of our interviews was that implementing DBI posed various challenges and that if school personnel had not committed to this effort and persevered, they would not have obtained the same level of success demonstrated at the end of the project. The primary point stressed by participating staff was that it is important to commit to implementing the DBI process for an extended period of time and to know that it will likely be bumpy along the way, so schools should not give up. As one MTSS coordinator summarized, “Data-based decision making is not for wimps... You really got to go in knowing that it’s hard work...to really look at the data and time is another element...Once you’ve made that commitment, you can’t just give up...The only answer we’ve found so far is sometimes just going ahead and doing what we need to do and having then people look at the success.” Staff in many schools reported that this commitment to DBI implementation has paid off. An RTI coach described accomplishments at her school: “Teachers worked really hard...[They] now look more at what they need to do to change instruction or new interventions instead of just looking at data...they are better able to use data to plan for specific students.”

Related to this, all personnel we spoke with believed that outside-the-box thinking was needed to make things work. Across the intensive TA sites, we saw numerous examples of innovative approaches to balancing the goals of DBI with extant school schedules, personnel, and resources. These examples included creative approaches to using staff, such as cross-grade-level grouping of students in intervention and using trained teams of volunteers for universal screening, to allow teachers to focus on instruction. In summary, just as teachers use data to guide ongoing adaptations of interventions for students, school leaders were using data to guide ongoing improvement efforts to support and improve their teachers’ abilities to implement DBI.

A Guide to Getting Started With DBI

School district personnel who are interested in incorporating DBI into their RTI/MTSS and special education intervention services have frequently asked staff and advisors of NCII for a roadmap of how to get started. Below, we outline one path for getting started with DBI and highlight various resources that can be used to support implementation. We believe that school teams who consider the lessons learned presented earlier and follow the guidance below in a systematic, deliberate way are most likely to experience success with DBI.

Step 1: Establish a core DBI team and familiarize team members with DBI.

The first step involves forming a team who will share responsibility for learning about DBI and developing an implementation plan. We recommend that this team include leadership personnel, teachers who will be providing interventions, and other staff who are involved in RTI/MTSS. Based on recommendations from schools that participated in intensive TA during NCII’s first five years, we encourage teams to involve leadership personnel at both the district and school levels. We also urge teams to involve special education teachers to ensure that students with disabilities are receiving intensive intervention.

Team members should familiarize themselves with the DBI framework prior to developing an implementation plan. We suggest that all team members first read [*Data-Based Individualization: A Framework for Intensive Intervention*](#). This document provides a concise overview of the rationale for intensive intervention and the core features of DBI. Next, we recommend that team members complete two modules on DBI that were developed through the [*IRIS Center*](#) at Peabody College of Vanderbilt University in collaboration with NCII and the [*CEEDAR Center*](#). The first module, [*Intensive Intervention \(Part 1\): Using Data-Based Individualization to Intensify Instruction*](#), provides an overview of DBI and includes guidance on making adaptations to intensify and individualize instruction. The second module, [*Intensive Intervention \(Part 2\): Collecting and Analyzing Data for Data-Based Individualization*](#), provides additional information on collecting and analyzing progress monitoring and diagnostic assessment data to inform the DBI process. It is critical for team members to familiarize themselves with the components of DBI before moving to the next step.

Step 2: Examine the current state of the district or school to facilitate planning.

A critical aspect of planning is to understand what infrastructure is currently in place that will support DBI implementation and to consider areas in which additional improvement will be needed. NCII has developed a module that includes a slide presentation and accompanying handouts to facilitate a planning discussion. The purpose of the module, [*Getting Ready to Implement Intensive Intervention: Infrastructure for Data-Based Individualization*](#), is to introduce schools to the infrastructure needed to implement DBI.

A more detailed set of tools also is available through NCII. The [*DBI Implementation Interview and DBI Implementation Rubric*](#) extend upon the *Getting Ready* module and provide additional detail and questions that will guide deeper analysis. These tools were used in the annual pulse checks at the intensive TA sites across the first five years of NCII. Together, they will allow the team to discuss strengths and areas for improvement related to five essential components of DBI. The components include Systems Features, Data and Decision Making, Intervention, DBI Process, and DBI Evaluation. Team members can use the structured interview that includes questions for multiple items within each component to focus discussions. The rubric provides guidance on how to rate each item on a scale of 1 (“*Little or No Implementation*”) to 5 (“*Complete and Consistent Implementation*”). The tools allow for the team to provide different ratings in the areas of reading, mathematics, and behavior, as there may be variation in infrastructure support across the areas. The final area of focus of the interview is a discussion of goals for implementation of DBI and supports necessary to achieve these goals. During this discussion, the team should consider how DBI aligns with other district initiatives (e.g., RTI, MTSS) and how it may be integrated into extant systems. As many of the schools receiving intensive TA indicated, situating DBI within broader systems of intervention may facilitate success.

Although the desire to build a strong foundation upon which DBI could be added was a common sentiment shared by school personnel across the intensive TA sites, we believe it is worth noting that this does not mean that schools should delay implementation of DBI until Tiers 1 and 2 are functioning optimally. It is critical that team members ensure that students with disabilities will have access to intensive intervention services. This is particularly important for students with

disabilities who have severe and persistent challenges. Teachers and administrators should ensure that students with disabilities have access to the most intensive interventions available in the schools. Delaying access to the services until RTI/MTSS systems are fully in place denies these students the free, appropriate public education guaranteed to them by the Individuals with Disabilities Education Act. Districts that make the decision to implement DBI should guarantee that special educators are involved in the professional development and ongoing support, and that special education services are delivered with sufficient intensity to help students obtain academic and behavioral goals. Infusing DBI strategies into special education planning and services by integrating them into the individualized education program will increase the likelihood that students with disabilities are able to receive intensive intervention.

Step 3: Start with a focused pilot project.

A majority of school districts that received intensive TA through NCII started DBI implementation in one area (e.g., reading, mathematics, behavior) with a few students (i.e., two to six) at one or two schools. Most school personnel who participated in our interviews indicated that starting small allowed for a more successful initial implementation of DBI. The members of the district-level DBI team should identify schools, school-level leadership, and teachers who appear to be most ready to and enthusiastic about implementing DBI. Once the pilot sites and participants have been identified, the DBI team should ask participants to commit to the process for at least one academic year. Successes and challenges can be reviewed at the end of the academic year and plans for moving forward can be made. However, as indicated in our interviews, more than one year of implementation may be necessary to build capacity and see positive effects in student academic and behavioral results. The implementation process may have some challenging moments; however, school personnel involved in intensive TA were satisfied with their outcomes and happy that they had committed to the process for more than a year.

As pilot sites are selected, the DBI team also should consider how the success of DBI would be evaluated in the district. In many of the intensive TA sites, success in the initial years was focused on building infrastructure through professional development. In later years, DBI success at many schools was evaluated by examining progress monitoring data of students who were receiving DBI. Although evaluation plans may look very different across schools and districts, it will be important for the DBI team to have measurable goals that can be examined at least annually to help the team conduct ongoing planning and improvement.

Step 4: Ensure that instructors involved with DBI implementation receive necessary professional development.

Instructors who will be implementing DBI and the teams of staff members who will be supporting them will need training on the DBI process. NCII has developed a series of eight [training modules](#) that schools can use as the basis for professional development. The modules provide an overview of the DBI process and more in-depth explorations of various components of DBI. Each module is intended as a component of comprehensive professional development that includes supplemental coaching and ongoing support. A trained, knowledgeable professional should deliver the modules. For each one, presentation slides or videos, handouts, and a coaching guide with suggested coaching activities are provided. In addition to these training modules,

there are numerous [webinars](#) available that expand upon content covered in the modules and answer many frequently asked questions about DBI.

DBI teams could use professional learning communities (PLCs) to learn from the NCII resources and integrate DBI into their practice. Helman and Rosheim (2016) provide a thorough description of the PLC model and an overview of research that demonstrates that PLCs are associated with increases in student achievement. Using the PLC model, teams of teachers and other school staff could form study groups to learn how to implement DBI from the online modules. Then, teams could follow the PLC model to implement DBI, establish procedures for ongoing review of progress, make adjustments as needed, and evaluate impacts on student outcomes. It also may be useful for teams to focus on increasing teachers' knowledge in the areas of reading, mathematics, and behavior interventions. The What Works Clearinghouse has developed practice guides that may be useful starting points ([reading](#); [mathematics](#); [behavior](#)). In addition, a [PLC facilitator's guide](#) is available for the reading practice guide.

Step 5: Ensure that DBI instructors and support teams have documented procedures and intervention plans.

One consistent piece of guidance provided by school personnel in the intensive TA sites was that written plans and procedures increased the likelihood that teams were successful in their DBI implementation. A special issue of *Teaching Exceptional Children*, published in March/April 2014, provides detailed case studies of DBI implementation in reading, mathematics, and behavior. These articles can be used to guide planning for how procedures and intervention plans can be documented. NCII also has developed a set of [guidance documents](#) that can be used to facilitate the DBI process. A set of student meeting protocols is available to help teams conduct premeeting planning and to support teams in the initial DBI planning meeting and ongoing progress monitoring meetings. Many of the documents are posted in editable formats so that schools can make adjustments as needed. In addition, NCII has developed [academic](#) and [behavioral](#) student progress monitoring tools that teams can use to set goals and graph students' progress to obtaining these goals.

We believe it also is important that school personnel plan for monitoring fidelity of DBI implementation. NCII has developed several [resources](#) that can support teams' efforts in this area. First, intervention providers or planning teams can use the [Intensive Intervention Implementation Review Log](#) to review, document, and improve implementation of the DBI process for the group of students they serve. The [Data-Based Individualization Implementation Log](#) can be used as a daily and weekly record of implementation for individual students. This information, along with progress monitoring graphs, can inform team intervention and data review meetings. Also, the [Student-Level Data-Based Individualization Implementation Checklists](#) can be used by teams to monitor implementation of the DBI process during initial planning and ongoing review (progress monitoring) meetings. Many schools involved in intensive TA adapted the NCII-designed materials to more closely align them with documentation used for other school initiatives (e.g., RTI/MTSS). It is not essential that these specific forms be used; however, it is important that procedures for monitoring accurate implementation are documented so that teams are able to continuously monitor their accomplishments.

Step 6: Evaluate progress and plan for the future.

The final step is to deliver intensive intervention and make the ongoing adaptations to intervention that will be necessary for many students with disabilities to demonstrate adequate responsiveness. This will involve ongoing data collection, evaluation of student progress, and frequent planning meetings. It is important that teams celebrate successes and provide encouragement to one another. As an administrator in an intensive TA school indicated, this is hard work. The DBI team should make plans to evaluate progress in DBI implementation each year. The team could revisit the [DBI Implementation Interview and DBI Implementation Rubric](#) (described in Step 2) at the end of each academic year to consider successes and make plans for the upcoming academic year. In planning for subsequent years, teams should consider ways to extend DBI efforts to include additional students, teachers, and schools.

Next Steps for NCII

As NCII enters its second cycle of funding, it will draw from these lessons learned toward the pursuit of an expanded mission—to support widespread implementation and scale-up of DBI initiatives at the state level. NCII’s TA will focus on building the capacity of states, as well as regional or university entities and their designees, which are directly responsible for the coaching, training, mentoring, and implementation of intensive intervention in districts. Although TA recipients will be expected to select and support pilot sites at the district level, NCII’s support will target larger states or regional entities through on-site and distance TA.

Building on the lessons and key steps for DBI implementation described in this paper, NCII will select states that demonstrate readiness to take on this complex, yet important work. Partner states will be expected to: prioritize the implementation of intensive intervention through connections to other ongoing initiatives, have a mechanism in place to support coaching staff in local districts implementing intensive intervention, and be explicit about including students with disabilities in their intensive intervention plans. NCII will roll out its TA support in a purposeful and gradual manner that considers the degree to which states demonstrate these features of readiness. For example, some states may be ready to receive implementation support right away, while others may need support with respect to aligning and integrating intensive intervention with other state-level initiatives and reforms before moving to implementation. NCII will continue to conduct ongoing formative evaluation activities to ensure that its supports are meeting overall Center and partner site objectives, and ultimately moving toward the long-term sustained implementation of intensive intervention that leads to better outcomes for students with disabilities.

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