IMPLEMENTING
ABA PRINCIPLES AND PRACTICES
AT SCALES OF SOCIAL IMPORTANCE

ROB HORNER
UNIVERSITY OF OREGON

WWW.PBIS.ORG
• Define three themes that are shaping implementation of ABA within Education

• Define the role of “core features” in the definition of effective practices, and the importance of defining core features for large scale implementation

• Define the role of “implementation fidelity measurement” both as a dependent variable and as an independent variables in large scale implementation

• Define the role of “efficiency” in adoption of new practices.
THEMES AFFECTING ADOPTION OF ABA PRACTICES IN EDUCATION
MULTI-TIERED SYSTEMS, EVIDENCE-BASED PRACTICES, IMPLEMENTATION SCIENCE

Multi-tiered Systems of Support

Evidence-based Practices

Implementation Science
WHAT IS SCHOOL-WIDE POSITIVE BEHAVIOR INTERVENTION AND SUPPORT (PBIS)?

- **School-wide PBIS is:**
  - A multi-tiered framework for establishing the **social culture** and **behavioral supports** needed for a school achieve behavioral and academic outcomes for all students.

- **Evidence-based features of PBIS**
  - Prevention
  - Define and teach positive social expectations
  - Acknowledge positive behavior
  - Arrange consistent consequences for problem behavior
  - On-going collection and use of data for decision-making
  - Continuum of intensive, individual intervention supports.
  - Implementation of the systems that support effective practices
The fundamental purpose of PBIS is to make schools more effective, efficient and equitable learning environments.
SCHOOL-WIDE POSITIVE BEHAVIORAL INTERVENTIONS AND SUPPORTS (PBIS)

- The **social culture** of a school matters.

- A continuum of supports that begins with the **whole school** and extends to intensive, wraparound support for individual students and their families.

- Effective practices with the **systems** needed for high fidelity and sustainability

- **Multiple tiers** of intensity
Primary Prevention: School-/Classroom-Wide Systems for All Students, Staff, & Settings

Secondary Prevention: Specialized Group Systems for Students with At-Risk Behavior

Tertiary Prevention: Specialized Individualized Systems for Students with High-Risk Behavior

Main Ideas:
1. Invest in prevention first
2. Multiple tiers of support intensity
3. Early/rapid access to support
RESEARCH ON IMPLEMENTING PBIS

- **Reduced problem behavior/ reduced bullying**
  (Bradshaw, Mitchell, & Leaf, 2010; Flannery et al., 2014; Horner et al., 2009; Metzler et al., 2001; Nelson, 1996; Nelson et al., 2002; Ross & Horner, 2009; Waasdorp, Bradshaw & Leaf, 2012)

- **Increased prosocial behavior**
  (Metzler, Biglan, Rusby, & Sprague, 2001; Nelson et al., 2002)

- **Improved emotional regulation**
  (Bradshaw et al., 2012)

- **Improved academic achievement**
  (Horner et al., 2009; Lassen, Steele, & Sailor, 2006; Nelson et al., 2002)

- **Improved perceptions of school safety**
  (Horner et al., 2009)

- **Improved organizational health/ reduced staff turnover**
  (Bradshaw et al., 2008)

- **Improve teacher perception of academic effectiveness**
  (Ross, Endrulat, & Horner, 2012)
SCHOOLS USING PBIS BY YEAR 2000-2018 (JULY)

- 26,424 School Using PBIS
  28% of all US Schools
  14,068,600 Students
- 3,297 High Schools
COUNT OF SCHOOLS USING PBIS BY STATE

Count of Schools Using PBIS by State as of July 2018

21 States with at least 500 Schools using PBIS
Proportion of Public Schools Using PBIS by State as of July 2018

14 States with at least 40% of schools using PBIS
LESSONS LEARNED

- Define and distinguish between
  - Practices
  - Core features
  - Valued outcomes
DEFINING A “PRACTICE/ PROGRAM/ INTERVENTION”

A “practice” is a procedure, or set of procedures, designed for use in a specific context, by individuals with certain skills/features, to produce specific changes in context or performance patterns that result in valued outcomes for specific individuals.

- Operationally defined procedures
  - What you do/ core features

- Target population/ Context
  - For whom

- Implementer Characteristics
  - By whom

- Core features (skills/context)
  - Structural change in context or skills

- Defined outcomes
  - Valued impact

(Evidence of functional relation)

Procedures/ Practices à Core Features à Valued outcome

Flay et al., 2005
Three Dangers:

1. We start with **practices** not values & outcomes
2. We conflate “technology and science”
3. We operate as if there is only one “effective practice”
TIER I PBIS CORE FEATURES

Consequences for Problem Behavior

System to Acknowledge Behavior

School-wide Expectations

Leadership Team

Family Engagement

Classroom Systems

Data and Decision System

Bully Prevention

Tier I PBIS
QUICK REFLECTION

- Select a Program or Intervention you use
  - What are the “valued outcomes”
  - What are the “core features”
LESSONS LEARNED: OPEN IMPLEMENTATION PROCESS

- **Option 1: Control Implementation**
  - Define one approach with precision
  - Build training protocol and materials that must be used (purchased)/ “certify materials”
  - Certify trainers who can officially deliver content.

- **Option 2: Encourage Implementation**
  - Define *core features* are documented to produce valued outcomes, but that can be achieved in many ways (different practices, programs, strategies).
  - Build “fidelity measures” that can be used to assess if *core features* are in place
  - Provide *training materials* and *measurement tools* freely
  - Provide training, but target all training to **building local training/coaching capacity**
  - Establish formal process for **continual improvement** and **local demonstration**
Fidelity Measures within SWPBIS

~80% of Students

~15%

~5%

Technical Adequacy of the SWPBIS Tiered Fidelity Inventory

Kent McIntosh, PhD1, Michelle M. Massar, MEd1, Robert F. Algazine, PhD1, Heather Peshak George, PhD1, Robert H. Horner, PhD1, Timothy J. Lewis, PhD1, and Jessica Swain-Bradway, PhD1

Content Validity (Tier I .95; Tier II .93; Tier III .91)
Usability (12 of 14 ≥ 80%) (15 min per Tier)
Inter-rater Agreement (.95; .96; .89)
Test-retest reliability (.98; .99; .99)
Factor Analysis
SUB-SCALE REPORT

School-Wide PBIS (SWPBIS) Tiered Fidelity Inventory
Demonstration School Challenged
5/5/2012 - 5/5/2013

Percentage Implemented

Tier I  Tier II  Tier III

5/5/2012  5/5/2013

0%  20%  40%  60%  80%  100%
SUB-SUBSCALE REPORT

Tier I
- Teams
- Implementation
- Evaluation

Tier II
- Teams
- Interventions
- Evaluation

Tier III
- Teams
- Resources
- Assessment
- Support plan
- Monitoring and adaptation
## School-Wide PBIS (SWPBIS) Tiered Fidelity Inventory

**Demonstration School Challenged**
Zenith, Winnebago

**School Year:** 2011-12  
**Date Completed:** 5/5/2012 - 5/5/2013

### Tier I: Universal SWPBIS Core Features

<table>
<thead>
<tr>
<th>Features</th>
<th>5/5/12</th>
<th>5/5/13</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Team Composition:</strong> Tier I team includes a Tier I systems coordinator, a school administrator, a family member, and individuals able to provide (1) applied behavioral expertise, (2) coaching expertise, (3) knowledge of student academic and behavior patterns, (4) knowledge about the operations of the school across grade levels and programs, and for high schools, (5) student representation.</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td><strong>2. Team Operating Procedures:</strong> Tier I team meets at least monthly and has (a) regular meeting format/agenda, (b) minutes, (c) defined meeting roles, and (d) a current action plan.</td>
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<td>1</td>
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**Feature Total:** 2 of 4  
3 of 4

### Implementation

<table>
<thead>
<tr>
<th>Features</th>
<th>5/5/12</th>
<th>5/5/13</th>
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</thead>
<tbody>
<tr>
<td><strong>3. Behavioral Expectations:</strong> School has five or fewer positively stated behavioral expectations and examples by setting/location for student and staff behaviors (i.e., school teaching matrix) defined and in place.</td>
<td>0</td>
<td>2</td>
</tr>
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</table>
## ACTION PLANNING

<table>
<thead>
<tr>
<th>Item</th>
<th>Current Score</th>
<th>Action</th>
<th>Who</th>
<th>When</th>
</tr>
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<tbody>
<tr>
<td>1.1</td>
<td></td>
<td>0</td>
<td>Alan</td>
<td>Feb 16</td>
</tr>
</tbody>
</table>

**Action:** Team to propose teaching template and Fall teaching schedule at Feb 16 Faculty meeting.
14,990 schools assessing Tier I
9,757 met Tier I PBIS criterion
11,817 schools assessing Tier II
3,945 met Tier II PBIS criterion
11,817 schools assessing Tier III
2,188 met Tier III PBIS criterion
THE ROLE OF IMPLEMENTATION FIDELITY AT TIER III
LESSONS LEARNED

- Anticipate implementation error patterns
Primary Prevention:
School-/Classroom-Wide Systems for All Students, Staff, & Settings

Secondary Prevention:
Specialized Group Systems for Students with At-Risk Behavior

Tertiary Prevention:
Specialized Individualized Systems for Students with High-Risk Behavior

~80% of Students

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~5%
**Multi-tier Model**

**Academic Systems**

- **Intensive, Individual Interventions**
  - Individual Students
  - Assessment-based
  - High Intensity
  - Of longer duration

- **Targeted Group Interventions**
  - Some students (at-risk)
  - High efficiency
  - Rapid response

- **Universal Interventions**
  - All students
  - Preventive, proactive

**Behavioral Systems**

- **Intensive, Individual Interventions**
  - Individual Students
  - Assessment-based
  - Intense, durable procedures

- **Targeted Group Interventions**
  - Some students (at-risk)
  - High efficiency
  - Rapid response

- **Universal Interventions**
  - All settings, all students
  - Preventive, proactive

---

Dona Meinders, Silvia DeRuvo; WestEd, California Comprehensive Center
**Intensive Level**
Interventions are provided to students with intensive/chronic academic and/or behavior needs based on ongoing progress monitoring and/or diagnostic assessment.

**Targeted Level**
Interventions are provided to students identified as at-risk of academic and/or social challenges and/or students identified as underachieving who require specific supports to make

**Universal Level**
ALL students receive research-based, high quality, general education that incorporates ongoing universal screening, progress monitoring, and prescriptive assessment to design instruction. Expectations are taught, reinforced, and monitored in all settings by all adults. Discipline and other data inform the design of interventions that are preventative and proactive.
Designing Schoolwide Systems for Student Success

**Academic Instruction**
- **Tertiary Interventions** (for individual students)
  - Assessment-based
  - High Intensity
  - 1-5%
- **Secondary Interventions** (for some students)
  - High Efficiency
  - Rapid Response
  - 5-10%
- **Universal Interventions** (for all students)
  - Preventive, Proactive
  - 80-90%

**Behavioral Instruction**
- **Tertiary Interventions** (for individual students)
  - Assessment-based
  - Intense, durable procedures
  - 1-5%
- **Secondary Interventions** (for some students: at-risk)
  - High Efficiency
  - Rapid Response
  - 5-10%
- **Universal Interventions** (for all students)
  - All Settings
  - Preventive, Proactive
  - 80-90%
PBIS
Integrated Continuum

Academic Continuum

Behavior Continuum

Mar 10 2010
Examples of Behavior Supports

Universal Prevention
- Identify expectations
- Teach
- Monitor
- Acknowledge
- Correct

Targeted Intervention
- Check-in, Checkout
- Social skills training
- Mentoring
- Organizational skills
- Self-monitoring

Intensive Intervention
- Individualized, functional assessment based behavior support plan
Three-tiered Model of School-wide Systems of Positive Behavior Support

Universal (All students)
- School-wide Systems of Support
  - 85% - 90% of students

Selected (At Risk Students)
- Classroom & Small Group Strategies
  - 7% - 10% of students
- Effective academic support
- Teaching social skills
- Teaching school-wide expectations
- Active supervision and monitoring in common areas
- Positive reinforcement for all
- Firm, fair, corrective discipline
- Effective Classroom management

Targeted / Intensive (High Risk Students)
- Individual Interventions
  - 3% - 5%
- Intensive academic support
- School based adult mentors
- Intensive social skills training
- Individualized, function-based behavior support plans
- Parent training and collaboration
- Multi-agency collaboration (wrap around)
- Alternatives to suspension and expulsion

Intensive social skills training and support
- Self-management programs
- School-based adult mentors (check-in)
- Increased academic support & practice
- Alternatives to school suspension

Alternatives to suspension and expulsion
- Intensive academic support
- School based adult mentors
- Intensive social skills training
- Individualized, function-based behavior support plans
- Parent training and collaboration
- Multi-agency collaboration (wrap around)
- Alternatives to suspension and expulsion
Universal Targeted Intensive

Few Some

RTI Continuum of Support for ALL

Universal All

George Sugai
Tier III
For Approx 5% of Students
Core

+ Supplemental

+ Intensive Individual Instruction
  ...to achieve benchmarks

1. Where is the students performing now?
2. Where do we want him to be?
3. How long do we have to get him there?
4. What supports has he received?
5. What resources will move him at that rate?

Tier III Effective if there is progress (i.e., gap closing) towards benchmark and/or progress monitoring goals.
Bethel’s Comprehensive Secondary Counseling Program
POSITIVE BEHAVIOR SUPPORT

Universal
School-Wide Data Collection and Analyses

School-Wide Prevention Systems (rules, routines, arrangements)

- Analyze Student Data
  - Interviews, Questionnaires, etc.
  - Observations and ABC Analysis
  - Multi-Disciplinary Assessment & Analysis

- Group Interventions
  - Simple Student Interventions
  - Complex Individualized Interventions
  - Team-Based Wraparound Interventions

Dr. Terry Scott: Adapted from George Sugai, 1996
Tier I: Universal/Prevention for All
Coordinated Systems, Data, Practices for Promoting Healthy Social and Emotional Development for ALL Students

Tier 2: Early Intervention for Some
Coordinated Systems for Early Detection, Identification, and Response to Mental Health Concerns

Tier 3: Intensive Interventions for Few
Individual Student and Family Supports

Adapted from the ICMHP Interconnected Systems Model for School Mental Health, which was originally adapted from Minnesota Children’s Mental Health Task Force, Minnesota Framework for a Coordinated System to Promote Mental Health in Minnesota; center for Mental Health in Schools, Interconnected Systems for Meeting the Needs of All Youngsters.
“This is the worst class I’ve ever had.”
Primary Prevention: School-/Classroom-Wide Systems for All Students, Staff, & Settings

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School-wide Positive Behavioral Interventions and Supports

Students will move up and down through services as needed.
Remember that the multiple tiers of support refer to our **SUPPORT** not Students.

Avoid creating a new disability labeling system.
LESSON LEARNED

- **Focus on “efficiency” of practices**
  - Time
  - Money
  - Expertise of personnel
  - Match with existing organizations/systems.

- 1. Efficiency for adoption

- 2. Efficiency for sustained performance

**NOTE:**
Differences in Efficiency across Multiple Tiers of Support
TIME COST OF A DISCIPLINE REFERRAL (AVG. 45 MINUTES PER INCIDENT FOR STUDENT 30 MIN FOR ADMIN 15 MIN FOR TEACHER)

<table>
<thead>
<tr>
<th></th>
<th>1000 Referrals/yr</th>
<th>2000 Referrals/yr</th>
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<tbody>
<tr>
<td>Administrator Time</td>
<td>500 Hours</td>
<td>1000 Hours</td>
</tr>
<tr>
<td>Teacher Time</td>
<td>250 Hours</td>
<td>500 Hours</td>
</tr>
<tr>
<td>Student Time</td>
<td>750 Hours</td>
<td>1500 Hours</td>
</tr>
<tr>
<td>Totals</td>
<td>1500 Hours</td>
<td>3000 Hours</td>
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</tbody>
</table>
Kennedy Middle School

Total Office Discipline Referrals

School Years

Pre PBIS  Year 1  Year 2  Year 3
WHAT DOES A REDUCTION OF 850 OFFICE REFERRALS AND 25 SUSPENSIONS MEAN?

- **Savings in Administrative time**
  - ODR = 15 min
  - Suspension = 45 min

- **13,875 minutes**
- **231 hours**

- **Savings in Student Instructional time**
  - ODR = 45 min
  - Suspension = 216 min

- **43,650 minutes**
- **728 hours**

- **29, 8-hour days**
- **121, 6-hour school days**
Use Implementation Science

- Implementation Drivers
- Stages of Implementation
- Improvement Cycles
Effects of Coach-delivered Prompting and Performance Feedback on Teacher Use of Evidence-based Classroom Management Practices and Student Behavior Outcomes

Michelle M. Massar
Special Education and Clinical Services
University of Oregon
DEFINING THE LOGIC MODEL

- Definition of coaching based on observable and measureable behaviors
  - **Coaching**: The supportive activities conducted after initial training that increase the speed and precision with which practices are implemented under typical conditions (Massar & Horner, 2015)

- **Training**: Process by which new skills and knowledge are taught to individuals

<table>
<thead>
<tr>
<th>Traits of coaches</th>
<th>Four functions of coaching</th>
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</thead>
<tbody>
<tr>
<td>Knowledgeable</td>
<td>Prompting</td>
</tr>
<tr>
<td>Trustworthy</td>
<td>Performance feedback</td>
</tr>
<tr>
<td>Effective communicator</td>
<td>Fluency building</td>
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<tr>
<td>Able to build rapport</td>
<td>Adaptation</td>
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</table>
LESSON LEARNED

- Start all conversations, interventions, projects and initiatives with clarification of values.
  - What are the values? Quality of life...
  - Who decides...
- Measure fidelity of implementation
- Measure the outcomes you value
FOR PEOPLE NEW TO ABA

- Learn the “core features” of any program or package you adopt.
- Focus on “why things work” not just “what to do.”

**Examples**

- **Tier I PBIS:** Teach school-wide expectations….. (teach so students learn the “general case”)
- **Tier II:** Use CICO to build behavioral momentum throughout the day.
- **Tier III:** The “function” of behavior determines the form of behavior support.
LESSON LEARNED

- Behavior support plans should be BOTH **technically sound** and have strong **contextual fit**

- **Technically Sound**: The intervention components are consistent with the functional behavioral assessment and principles of behavior analysis.

- **Contextual Fit**: The intervention components are consistent with the **knowledge, values, skills, resources and administrative support** of the people who will implement the intervention.

Monzalve & Horner, (submitted). The Impact of Contextual Fit on Behavior Support Plan Fidelity and Effect

Manuel Monzalve
Implementing Function of Behavior Support Plan (BSP) Fidelity

Teacher 1

Teacher 2

Teacher 3

Teacher 4

Monzalve & Horner, (submitted). The Impact of Contextual Fit on Behavior Support Plan Fidelity and Effect

Figure 2. Percentage of BSP Components implemented during 20 minute observations
PROBLEM BEHAVIOR

Student 1

Student 2

Student 3

Student 4

Monzalve & Horner, (submitted). The Impact of Contextual Fit on Behavior Support Plan Fidelity and Effect
REFLECTION:
CONSIDER A BEHAVIOR SUPPORT PLAN YOU KNOW WELL

<table>
<thead>
<tr>
<th></th>
<th>1 = Low</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5 = High</th>
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<tbody>
<tr>
<td><strong>BSP is Technically Sound</strong> (Fit with FBA)</td>
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<tr>
<td><strong>Knowledge</strong> of Procedures</td>
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<tr>
<td>Procedures Consistent with <strong>Values</strong> of Implementers</td>
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<tr>
<td>Implementers Have Relevant <strong>Skills</strong></td>
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<tr>
<td><strong>Resources</strong> (time, materials, personnel)</td>
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<tr>
<td><strong>Admin Support</strong></td>
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</table>
LESSONS LEARNED

1. Invest in **Decision Systems**
   - Collect information about **fidelity and impact**
   - Are we doing what we said we would do?
   - Is it making an improvement in valued outcomes?

Are we doing what we said we would do?
- PBIS
- Restorative Practice
- Early Literacy
- Good Behavior Game

Is what we are doing benefiting the people receiving support?
- Social behavior
- Relationships
- Literacy comp
- Numeracy
LESSONS LEARNED

- Decision Systems Require (a) Teams, (b) Data, (c) Decision Process
DORA: PROBLEM SOLVING SCORE
($T_{O2} = 3.03, DF = 36, P < .05, ES = .87$)

DORA: PROPORTION OF TEAMS IMPLEMENTING SOLUTIONS WITH INTEGRITY
($X^2 = 6.21, P < .05, V = .34$)
Results

TIPS improved the process of team problem solving (development of solutions)

TIPS improved the likelihood that solutions were implemented

TIPS increased the likelihood of improvement in student outcomes (both academic and behavior)
LESSONS LEARNED

- **Multiple approaches to achieving scaled implementation**
  - **Colorado**: Started with Leadership Team
  - **Illinois**: Started with Leadership Advocates and built team only after implementation expanded.
  - **Missouri**: Strong initial demonstrations led to strong state support

- **All states began with small “demonstrations”** that documented the feasibility and impact of SWPBIS.

- **Only when states reached 100-200 demonstrations did scaling occur.**
  **Four core features needed for scaling:**
  - Administrative Leadership / Support/ Funding
  - Technical capacity (Local training, coaching, evaluation and behavioral expertise)
  - Local Demonstrations of feasibility and impact (100-200)
  - Evaluation data system (to support continuous improvement)

- **Essential role of Data**: Fidelity data AND Outcome data
LESSONS LEARNED:

- **Scaling requires planned efficiency (leveraging)**
  - The unit cost of implementation must decrease as the number of adoptions increases.
    - Shift from external trainers to within state/district trainers
    - Use local demonstrations as exemplars
    - Increased coaching capacity can decrease investment in training
    - Improved “selection” of personnel decreases turnover and development costs
    - Use existing professional development and evaluation resources differently

- **Basic Message**: The implementation practices that are needed to establish initial exemplars may be different from the practices used to establish large scale adoption.
  - Jennifer Coffey, 2008
**Resource Leveraging** is the process by which initial investment in personnel, materials, and events to achieve a targeted goal results in additional investment being allocated toward that goal.

Elements of Resource Leveraging:

- **Initial Investment**
- **Fidelity of Adoption**
  - Effect
  - Reasonable Cost
- **Investment of New Funds**
- **Shift in Policy, Standard Operating Procedures**
- **Reallocation of Existing Resources**
- **Large-scale Implementation with fidelity and impact**

**Resource Leveraging:** Initial investment provides proof of concept that is used to leverage (a) new (larger) funding, (b) policy shifts needed for efficient implementation, and (c) reallocation of existing resources (e.g., FTE). The result is a large-scale adoption of new practices with fidelity and impact.
LESSONS LEARNED

- Scaling is NOT linear

- Scaling requires sustainability/ continuous regeneration

- Threats to Scaling:
  - Competing initiatives
  - The seductive lure of the “new idea”
  - Leadership turnover
  - Legislative mandates
  - Fiscal constraint

Regular Dissemination of Fidelity and Impact data is the best “protective factor” for threats to scaling
The principles of Behavior Analysis are important and implementation at scale is possible.

Consider the cluster of core features needed for scaling:
- Admin support, technical capacity, 100-200 demonstrations
- Small demonstrations may be necessary but insufficient
- Build in system for adapting the program to fit the local context while retaining the core features.

Consider an implementation plan with established procedures for improving efficiency of implementation.

Measure fidelity of implementation as a part of effective implementation.

Large-scale implementation requires attention to “cultural/contextual fit”

Sustained implementation requires continuous regeneration

Always emphasize, measure and report on valued outcomes.
SUMMARY

Effective Practices that work
Efficient Practices that are practical, durable and available
Equitable Practices that benefit all