

# PLANNING AND IMPLEMENTING INSTITUTIONWIDE PROJECTS

*Prepared by the National Evaluation and Technical Assistance Center for the Education of  
Children and Youth Who Are Neglected, Delinquent, or At-Risk*



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**About the National Evaluation and Technical Assistance Center for the Education of Children and Youth Who Are Neglected, Delinquent, or At Risk**

The mission of the National Evaluation and Technical Assistance Center for the Education of Children and Youth Who Are Neglected, Delinquent, or At Risk (NDTAC) is to improve educational programming for neglected and delinquent youth. NDTAC's legislative mandates are to develop a uniform evaluation model for State education agency Title I, Part D, Subpart I programs; provide technical assistance to States in order to increase their capacity for data collection and their ability to use that data to improve educational programming for youth who are neglected or delinquent; and serve as a facilitator between different organizations, agencies, and interest groups that work with youth in neglected and delinquent facilities. For additional information on NDTAC, visit the Center's Web site at <http://www.neglected-delinquent.org>.

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# CONTENTS

<b>Introduction to Institutionwide Projects .....</b>	<b>1</b>
What is an institutionwide project and what are the benefits? .....	1
What types of N or D programs can implement institutionwide projects? .....	2
<b>Planning for an Institutionwide Project .....</b>	<b>2</b>
Part A: Conducting a Comprehensive Needs Assessment .....	4
Part B: Writing a Comprehensive IWP Plan .....	7
<b>Implementing an Institutionwide Project .....</b>	<b>9</b>
Providing Professional Development Within an Institutionwide Project .....	9
Evaluating Institutionwide Projects .....	10
<b>Common Pitfalls in Operating Institutionwide Projects .....</b>	<b>12</b>
<b>Institutionwide Project Planning and Implementation Tools</b>	
Tool A: Institutionwide Project Example .....	T1
Tool B: Possible Topic Areas and Indicators for Use in Creating a Facility Profile .....	T2
Tool C: Sample Data Collection and Management Chart .....	T5



## Introduction to Institutionwide Projects

This brief is designed specifically for administrators of State Title I, Part D, programs, working within State education agencies (SEAs) and State agencies (SAs). The purpose of the brief is to provide an overview of institutionwide projects (IWP) and their benefits for neglect and delinquent (N or D) programs, some important basic steps administrators need to consider when creating and running an IWP, and some common mistakes made in the implementation process. Additionally, examples and tools are provided that can be adapted by administrators to assist in the implementation effort.

The information throughout this brief will help administrators who are interested in implementing IWPs for the first time, as well as those who are currently running IWPs. In addition, the processes involved in planning for, implementing, evaluating, and improving IWPs can benefit all Part D programs, regardless of IWP implementation. The emphasis within IWPs on implementing and revising curriculum and instruction based on student outcomes in order to improve program quality is an approach all Part D programs can strive for. Therefore, this brief also provides guidance for administrators looking to improve the quality of Part D services offered in facilities<sup>1</sup> for N or D youth.

### What is an institutionwide project and what are the benefits?

An IWP allows SAs that provide free public education for children and youth enrolled in N or D programs to use Title I, Part D, Subpart 1 funds in coordination with other Federal funds—those of the Individuals With Disabilities Education Act (IDEA),<sup>2</sup> Title II—Academic Improvement and Teacher Quality Programs,<sup>3</sup> Title IV—21st Century Schools,<sup>4</sup> and others—as well as State funds to serve all children in, and upgrade the entire educational and transition efforts of, that institution or program. IWPs, as opposed to population- or student-specific programs, enable SAs to

- Focus on adopting strategies that aim to improve the overall educational program of an institution, rather than providing add-on services for individual students;
- Combine Title I, Part D, Subpart 1 funds with other State and Federal funds for education programs to support comprehensive approaches that meet the educational needs of all children and youth in N or D institutions;
- Conduct a more focused evaluation of a facility’s needs in terms of educating and supporting their students and staff;
- Provide the opportunity for focused and sustained professional development for all facility staff; and
- Use Title I, Part D, Subpart 1 funds more flexibly.

In terms of flexibility, an SA operating an IWP may potentially serve a broader student population and does not necessarily have to restrict funding to supplemental educational services specifically or account for Federal dollars separately (see Section J of the Nonregulatory Guidance, [http://www.neglected-delinquent.org/nd/resources/guidance/state.asp#sa\\_projects](http://www.neglected-delinquent.org/nd/resources/guidance/state.asp#sa_projects)). However,

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<sup>1</sup> Throughout the document, “facility” refers to any public or private residential setting (other than a foster home) or community day program that provides educational services for children and youth who have been adjudicated neglected or delinquent or are otherwise in need of supervision.

<sup>2</sup> For more information on IDEA: <http://idea.ed.gov/explore/home>

<sup>3</sup> For more information on Title II: <http://www.ed.gov/policy/elsec/leg/esea02/pg20.html>

<sup>4</sup> For more information on Title IV: <http://www.ed.gov/policy/elsec/leg/esea02/pg51.html>

administrators must maintain an emphasis on upgrading and improving existing educational, vocational, and transitional program offerings for all students in order to implement an appropriate IWP.

Section 1417 of the Title I, Part D, statute (<http://www.neglected-delinquent.org/nd/resources/legislate/intro.asp#sec1417>) affords facilities greater ability to continually monitor and improve the IWP without having to necessarily “go back to the drawing board” each year. As with other programs and projects operated under Subpart 1 in which individual children or youth are likely to participate for more than 1 year, facilities are able to operate an IWP for up to 3 years on one SA-approved application. While submission of a new IWP plan on an annual basis is not required,<sup>5</sup> facility administrators will need to revise aspects of their IWP plan or develop and submit a new one if evaluation of the IWP suggests that changes are necessary to impact positive outcomes for students.

Implementing a successful IWP requires increased oversight of the coordinated funds and strong facility leadership. The leadership will need to focus both on improving academic, vocational, and transitional outcomes for all students and on maintaining fidelity to the programs that collaboratively fund the IWP. SAs should work with facility administration and staff to ensure that they are willing to engage in the processes necessary to develop a sound IWP plan and have the understanding and commitment to implement, evaluate, and revise the IWP accordingly.

## **What types of N or D programs can implement institutionwide projects?**

The IWP provision in Section 1416 of the Title I, Part D, statute (<http://www.neglected-delinquent.org/nd/resources/legislate/intro.asp#sec1416>) specifies that in order to run an IWP,

- The facility must be eligible to receive Title I, Part D, Subpart 1 funding;
- The funding SA must be providing free public education for children and youth enrolled in N or D programs or attending a community-day program for such children and youth; and
- The educational program is not provided by an adult correctional institution.

Though their statutory provisions, related regulations, and guidance differ, IWPs share some similarities to schoolwide programs operated in traditional Title I public education settings. SEA and SA administrators may find it helpful to use Federal, State, and local guidance on schoolwide projects in coordination with this brief to apply relevant concepts in the implementation of IWPs.

Once a facility has determined that it is eligible and interested in developing an IWP, the IWP must be comprehensively planned for, approved by the SA and SEA, monitored and reported on, and continuously evaluated for its impact on the improvement of academic, vocational, transitional, and other related outcomes. The remainder of this brief outlines each of these steps along with key things to consider during the IWP development process.

## **Planning for an Institutionwide Project**

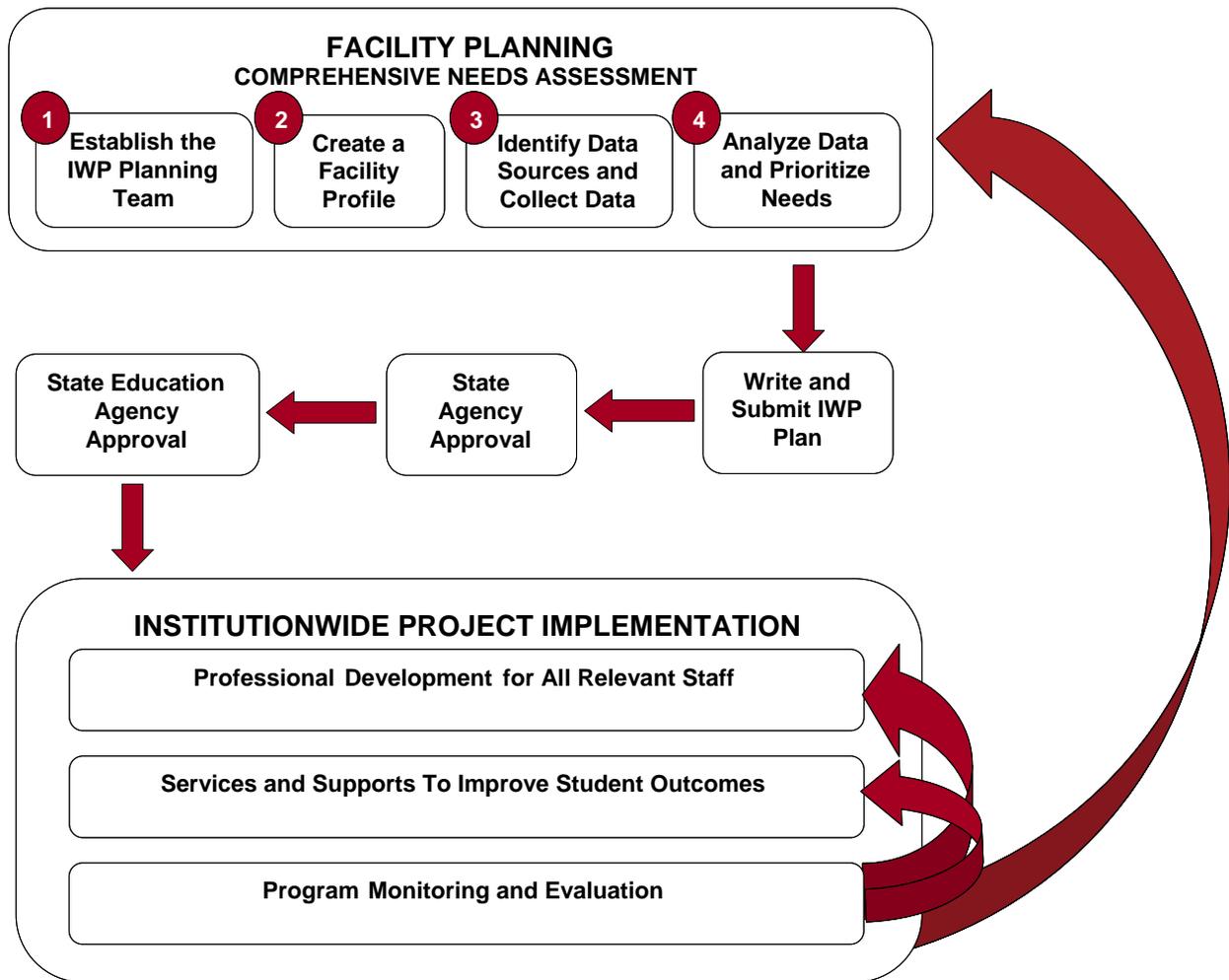
In order to begin implementing an IWP, a facility must first apply to their SA for funds under Title I, Part D, Subpart 1 of the Elementary and Secondary Education Act (ESEA), as amended. As part of the funding application, each facility must create a comprehensive IWP plan to be approved by the SEA. In

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<sup>5</sup> While submission of a new plan is not required every year, SEA, SA, and facility administrators should note that annual evaluation of IWPs, just as with all other Title I, Part D, programs, is required by statute under Section 1431. Program Evaluations, <http://www.neglected-delinquent.org/nd/resources/legislate/intro.asp#sec1431>.

order to create a sound, effective IWP plan, each facility must first develop and conduct a comprehensive assessment of the educational and related needs of all students served by, as well as staff working within, the individual facility. As facilities begin the planning process, having an understanding of the implementation of the IWP with consideration for future programming, professional development, evaluation, and other related activities will be beneficial. Figure 1 provides a diagram of recommended steps in planning as well as important aspects to include in implementing an IWP. Details for each step of the planning process are provided following the diagram.

**Figure 1: Diagram of an Ideal IWP Planning and Implementation Processes**



## Part A: Conducting a Comprehensive Needs Assessment

Before a facility begins step 1 described below, it is important that they understand the role of planning in the implementation of an appropriate and successful IWP. One of the benefits of running an IWP is that it requires, and thereby affords the opportunity for, facilities to engage in an in-depth planning process focused on discovering, understanding, and designing programs to meet the needs of its students.

A facility wishing to operate an IWP must undertake a thorough assessment to identify the needs of their students and staff. The needs assessment is critical to developing a sound IWP, as it reveals the academic, social-emotional, environmental, transitional, professional development, and other priority areas on which the project will focus. The needs assessment guides the development of the comprehensive IWP plan and helps administrators and staff establish benchmarks for evaluating the project. As a result, the needs assessment is closely linked to all aspects of IWP implementation.

**The needs assessment should aim to collect relevant information on all participating students and staff in a facility, including**

- Students from different racial and ethnic groups;
- Male and female students;
- Students with learning, mental, and physical disabilities;
- Students with limited English proficiency and migrant students; and
- Instructional, support, security, treatment, administrative, and other relevant personnel.

The major steps facilities will need to consider in the needs assessment process are (1) establishing an IWP planning team, (2) creating a facility profile, (3) identifying data sources and collecting data, and (4) analyzing data and finalizing needs.

### *Step 1: Establishing an IWP Planning Team*

It is a good idea to have a planning team in place to lead the process of developing the IWP. The primary role of this team is to organize and oversee the needs assessment process, lead the staff in developing the IWP plan, and conduct or oversee the project's evaluation and steps for continuous quality improvement. Typically, the facility director/superintendent establishes this core planning team, which may consist of a number of different staff members and other individuals who can provide insight into different aspects of the planning process, including a data coordinator; education, treatment, security and other staff representatives; transition liaison(s); representatives of programs from which funds have been consolidated; and parent/family, community, and other representatives external to the facility with a vested interest in the success of its students.

Once the team has been identified, they may undertake steps 2 and 3 concurrently, as both are necessary to move the process forward and provide necessary information to inform these steps.

### *Step 2: Creating a Facility Profile*

The purpose of the facility profile is to help staff understand its current status in meeting the educational, transitional, and other related needs of the youth in its charge. The profile offers a picture of the gaps between where the facility is in terms of their service delivery and where they would like to be after successful implementation of the IWP.

Specifically, the profile is a data-driven description of the facility's student, staff, community, and other relevant demographics; treatment and programmatic services; and overall mission. The facility profile

serves as a starting point for discussion by the planning team, and provides useful information for each of the focus areas within the needs assessment that follows. The profile can suggest critical questions the facility will need to address through the planning process, such as the following:

- What types of students are predominantly being served? What is their background and what mental health, physical, and/or educational services do they need?
- What services are currently being provided and at what level?
- What are the strengths and needs of the teaching, security, treatment, support, and administrative staff? What additional skills/training do they need?
- What is the current facility culture? Is it conducive to youths' academic and transitional success and rehabilitation?
- What is the current level of family and community involvement with the facility? What are the needs of family members and community members?

Tool B in this document's Institutionwide Project Planning and Implementation Tools section contains a sample set of indicators that can be used as a starting point to develop a detailed facility profile that will subsequently drive the needs assessment process and inform the IWP plan.

### *Step 3: Identifying Sources of and Collecting Data*

In order to gather the information necessary to complete the facility profile and inform the needs assessment and IWP plan, a facility must take stock of the types of data as well as the sources of data they need and that are available to them. The assessment should identify and use multiple data sources to ensure objectivity and breadth. Some data will be readily available and easy to obtain and analyze, such as the data collected as part of the Consolidated State Performance Reports (CSPR). Additionally, the facility may need to gather additional data (quantitative or qualitative) in order to answer the questions they have and to provide a complete and accurate picture of student and staff needs. To do this, facilities may be able to use existing data collection instruments or will need to design new ones to be used for surveys, face-to-face interviews, focus groups, onsite observations, or other data collection methods.

Organization and efficiency of data collection is important for the needs assessment process, as well as the later evaluation of an IWP. Facilities need to ask the right questions upfront to be realistic about data collection expectations:

- What data are needed to conduct a thorough needs assessment?
- What data are already available/collected? Is this data of high quality and useable?
- If data has not been collected, what collection methods could be implemented to obtain the data?
- Is it feasible for the facility to collect or provide this data?
- What steps are involved in collecting this information (e.g., creating and administering a survey, organizing focus groups, developing interview protocols, hiring outside consultants)?
- What is a reasonable timeline for completing the data collection process?
- What other obstacles might be encountered that need to be taken into consideration?

The IWP planning team largely will be responsible for deciding what data are needed, who to collect data from, and how. Tool C in the Institutionwide Project Planning and Implementation Tools section of this document provides one example of how a facility may choose to identify their data needs and data sources and how to plan for data collection completion.

The IWP planning team will be tasked with identifying what data are needed, and not collecting more data than necessary. However, if the team questions the accuracy of the data provided, it would be unwise to prioritize and target funding around an issue that may not exist. Additional data may need to be collected to support the existing evidence and ensure that funds are allocated to the most important needs within the facility.

#### *Step 4: Analyzing Data and Prioritizing Needs*

Sound data analysis is an essential step in moving from data gathering to the creation of an IWP plan that effectively meets the goal of improving academic, transitional, and other related needs of students. As the data is analyzed, any gaps between the facility's goals for service delivery and its current operations will become apparent. The results will help the planning team gain a better understanding of both the needs the IWP can address and some ways in which to address them.

There are a number of ways to approach analysis of data collected—if the planning team does not have the experience, or time, to effectively analyze and synthesize the data, the facility may want to consider hiring outside consultants to assist with this process (if they have not already been involved in the needs assessment process).

One possible approach involves examining the current outcomes, targeting those that are problematic, and working to identify both the source of the problem and a solution that addresses the issue. By identifying the root of the problem, the facility is more likely to develop a solution that directly improves outcomes; however, outcomes should be examined in a comprehensive manner and not in isolation. Additionally, facilities will have to prioritize where to focus their efforts in relation to the other needs that are identified. It is possible that in going through this process, there will be problems that impact several outcomes and/or solutions that address more than one need.

Table 1 provides one example of how to approach identifying and prioritizing the main components of the IWP. A sample outcome and related responses are provided; while a full-scale assessment may not fully fit within this type of tool, facilities can use this table to guide their thinking about the outcomes and issues within the facility. Additionally, the table can be used to identify both action steps that can be included in the IWP plan and indicators for evaluating the success of the IWP periodically after implementation begins.

#### **EXAMPLE**

##### **Possible needs programs may prioritize through an IWP**

- School engagement: instilling in youth the benefits of education and an interest in lifelong learning and achievement.
- Instructional achievement: improving the teaching-learning process to help students achieve, as measured by test scores, grades, promotions or advancement in skill development and acquisition.
- Parental involvement: revising policies to increase the ability of parents to be involved in their student's education.
- Physical and mental health: enhancing services around health issues that may impact youths' ability to succeed.
- Transition: increasing staff to assist youth as they move from one placement to another, especially back into the home and community.
- Professional development: providing training for teachers on how to collect and use data to inform improvements in the classroom.

\*Note that IWPs are not limited to these specific topics or issues, and should be based on the needs assessment. See also tool A for an example of a comprehensive institutionwide project.

**Table 1: Template for Describing and Prioritizing Needs<sup>6</sup>**

Current Outcomes: <b>How things are...</b>	Desired Outcomes: <b>How things <u>should</u> be...</b>	Needs: <b>What is the source of the problem?</b>	Priority Ranking <b>How important is this need compared to others?</b>	Solutions/ Action Steps <b>What are we going to do about it?</b>	Evaluation Items <b>How do we know we've succeeded?</b>
<p>Example: Upon release, only 25% of students are awarded the academic credits they earned while in placement following release.</p>	<p>Upon release, 100% of students will have their academic credits transferred.</p>	<ol style="list-style-type: none"> <li>1. Some classes are not meeting State time and curriculum requirements, consequently credits are not transferrable.</li> <li>2. Student records are not up-to-date upon transfer and information is lost or inconsistently transferred.</li> </ol>	<p>3 (of 6)</p>	<ol style="list-style-type: none"> <li>1. Update curricula so that all courses meet State mandates/ requirements and credits are transferrable; conduct awareness meetings with local schools to ensure transferability.</li> <li>2. Adopt policies that require all teachers to update student academic records twice per week.</li> </ol>	<ol style="list-style-type: none"> <li>1. Regular/ routine review of course curricula indicates it is meeting State standards.</li> <li>2. Continue tracking student transfer data and review quarterly for improvement.</li> </ol>

Above all, the facility will want to be able to demonstrate that the results of the data collection serve as the basis for the IWP plan created. Facilities will want to demonstrate a clear connection between identified student, staff, and other related needs and the IWP’s goals, objectives, and implementation steps. Whenever possible, the SEA, SA, and other reviewers outside of the facility should be brought in to examine the planning process and the proposed IWP plan to ensure that the conclusions reached by the planning group are reasonable and valid. Once the needs assessment is complete, priorities are determined, and action steps are proposed, facilities can then use all of the information available to them to develop a comprehensive IWP plan.

## **Part B: Writing a Comprehensive IWP Plan**

Writing the comprehensive plan is an extremely important step in implementing and maintaining an appropriate and successful IWP. A well-constructed plan provides a blueprint for all core operations in the IWP. Facilities that take the time to write a thoughtful plan that is designed to address the needs previously identified will provide themselves with a tool that promotes greater coherence to IWP

<sup>6</sup> Table adapted from West Virginia Department of Education Comprehensive Needs Assessment, Neglected and Delinquent Needs Assessment Committee training, March 2009.

activities. Detailed plans help ensure that staff, students, and other involved parties are committed to and working toward shared goals and objectives.

Section 1416 of the Title I, Part D, statute (<http://www.neglected-delinquent.org/nd/resources/legislate/intro.asp#sec1416>) requires that the IWP plan developed for each facility include eight essential elements. In order to ensure that their plan includes all elements, facility administrators can use the checklist below to confirm that they have done the following:

- Completed a comprehensive assessment of the educational and related needs of all children and youth in the facility serving juveniles;
- Completed a comprehensive assessment of the educational and related needs of youth aged 20 and younger in adult correctional facilities who are expected to complete incarceration within a 2-year period;<sup>7</sup>
- Effectively described all steps that have been, or will be, taken to provide all eligible youth with the opportunity to meet challenging State academic content and student academic achievement standards in order to improve the likelihood that they will (1) complete secondary school, (2) attain a secondary diploma or its recognized equivalent, or (3) find employment after leaving the facility;
- Described the instructional programming, student services, and procedures that will be used to meet the needs discovered in the assessment, including, where feasible, the provision of mentors for the children and youth in the facility or facilities;
- Specified how IWP funds will be used;
- Described the measures and procedures that will be used to assess student progress;
- Identified how the agency has planned to and will implement and evaluate the IWP in consultation with facility personnel providing direct instructional and support services as well as relevant SEA and SA personnel; and
- Offered an assurance that they have provided for appropriate training for teachers, other instructional, support, administrative, and relevant personnel to enable them to carry out the IWP effectively.

Ensuring that all of the items above have been completed, as well as being sure to address any identified program performance issues,<sup>8</sup> will not only help the facility successfully meet the statutory requirements and garner the subsequent approval of the SA and SEA, but also will establish a sound foundation upon which they can implement an effective IWP. Once the IWP plan has been approved, facility administration must provide all staff with the training and support they will need in order to successfully improve the academic, transitional, and other related outcomes for youth in the facility.

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<sup>7</sup> Though adult correctional facilities are not eligible to operate IWPs, SAs may still want to assess the needs of youth populations within these facilities.

<sup>8</sup> Addressing issues identified through SEA, SA, or ED monitoring is a necessary step toward operating an effective IWP or any other Title I, Part D, program.

## Implementing an Institutionwide Project

Each facility's implementation of an IWP will be specific to its own identified needs, goals, and objectives. However, there are some activities and processes, specifically around professional development and monitoring and evaluation, that *all* facilities will need to keep in mind in order to run a successful IWP. These are specifically highlighted in the next two sections.

## Providing Professional Development Within an Institutionwide Project

The success of an IWP is largely determined by the preparedness and buy-in of facility staff across all levels and areas of support. Implementing an IWP likely means a facility will change some aspect of their educational, vocational, transitional, treatment, or other programmatic offerings. In order to make such a change successfully, all involved facility staff will need to be made aware of exactly what each piece of the IWP will entail and, specifically, what the new expectations for them and their work will be. For example, it is possible that a facility IWP plan will include measures to increase collaboration between staff from different service areas. Explaining to staff the reasons why the collaboration is beneficial and how such collaboration might work on a day-to-day basis will better prepare them for operations under the IWP. If staff feel uncomfortable with the new way of working under the IWP, they are unlikely to fully or even partially buy in to the reform effort, and the likelihood the IWP will be effective is minimized.

Ongoing professional development for all involved staff is essential in any facility operating an IWP, just as it is for any program for youth who are neglected or delinquent. As mentioned, gathering the formal and informal professional development and training needs of staff is an integral part of the comprehensive needs assessment. Subsequently, as part of implementing an IWP, the facility is required<sup>9</sup> to provide training that will enable staff to fulfill the goals specified by the IWP plan. The professional development opportunities initially ought to be designed to meet the identified needs of staff during implementation and should expand over time to address the changing needs of staff as they grow in their positions.

Facilities will want to implement a professional development model that is both well-planned and thoughtful. One approach facilities may want to consider to train and support staff effectively is through professional development that applies the principles of adult learning theory.<sup>10</sup> By understanding the way adults learn, how it differs from adolescent learning, and techniques and content that may lead to the most effective learning, facilities give themselves an advantage in adequately preparing and supporting staff.

While no one way of professional development will work for all facilities, professional development activities that may be beneficial to meeting staff needs and facility goals are those that

- Are offered on a continual basis--during the school year and over the course of multiple years;

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<sup>9</sup> Section 1416(8) of the Title I, Part D, statute requires facility IWP plans to provide assurance that appropriate training is provided to all teachers and instructional and administrative personnel "to enable [them] to carry out the project effectively."

<sup>10</sup> S.B. Merriam's *Andragogy and Self-Directed Learning: Pillars of Adult Learning Theory* (2001) provides an overview of the research into adult learning, as well as its basic principles (<http://www.fsu.edu/~elaps/ae/download/ade5385/Merriam.pdf>). Additionally, drawing from M. Speck's *Best Practice in Professional Development for Sustained Educational Change* (1996), the North Central Regional Education Laboratory offers several important points of adult learning theory that should be considered when professional development activities are designed for educators (<http://www.ncrel.org/sdrs/areas/issues/methods/technology/te10lk12.htm>).

- Occur onsite—training staff in the environments in which they work allows them an increased level of comfort in adopting the skills being taught as well as ownership over the impact such training will have over their students and overall working environment;
- Are targeted at a number of different levels—opportunities should be provided to all relevant staff in order to help establish common ground and adopt successful practices and procedures—however, some trainings may be targeted at specific personnel with specific needs;
- Are based on practices proven to be successful in helping teachers improve the quality of their academic instruction, and help all staff improve their care and support of children and youth; and
- Promote collaboration and cooperation so as to breed an environment in which all staff are aligned around shared goals and provide the services and supports to which they are best suited in the most effective and efficient manner possible.

While these and other professional development practices will greatly prepare a facility, an IWP cannot be appropriately or effectively run—no matter how thoughtfully planned for and how well staff are trained and supported—without undertaking comprehensive evaluation practices over the course of the IWP’s implementation and beyond. Ways in which to meet this requirement of operating an IWP are discussed in the next section.

## Evaluating Institutionwide Projects

While evaluation is an activity required by Section 1416 of Title I, Part D, Subpart 1 (<http://www.neglected-delinquent.org/nd/resources/legislate/intro.asp#sec1416>) to occur during or after IWP implementation, facilities are advised to develop a detailed plan for IWP evaluation prior to implementation.

The IWP evaluation should ideally take place across a number of different levels. Generally, it is recommended that facilities operating IWPs be actively engaged in both ongoing examination of IWP implementation, through formative evaluation techniques, as well as appraisal of results achieved through the IWP, via a summative evaluation process.<sup>11</sup> Similarly, it will be important for SAs and SEAs to include close inspection of IWPs within participating facilities as part of regular monitoring procedures.<sup>12</sup> Such continuous formal and informal observation and assessment will help determine whether or not the IWP is effective in increasing supports for and improving desired outcomes of students. Facilities will want to revise their comprehensive plans or even consider discontinuing an IWP, as necessary, based on the results of periodic evaluation results.

More specifically, regular evaluation of IWPs can serve many valuable purposes. Analyses of the data collected can

- Help facility leaders make informed program management decisions as to how to improve the quality of their services;
- Answer SEA, SA, and facility administration questions and identify for them how the facility is meeting its stated goals;

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<sup>11</sup> Northern Arizona University provides a chart distinguishing the key characteristics of formative versus summative evaluation/assessment:

[http://jan.ucc.nau.edu/edtech/etc667/proposal/evaluation/summative\\_vs\\_formative.htm](http://jan.ucc.nau.edu/edtech/etc667/proposal/evaluation/summative_vs_formative.htm)

<sup>12</sup> NDTAC analysis of past years’ Federal monitoring findings indicates that SAs do not always adequately ensure that facilities are operating IWPs in accordance with statutory requirements. These and other findings will be available in an upcoming NDTAC monitoring document. Additionally, several of the “pitfalls” discussed in the subsequent section address some of the issues regular monitoring would be able to address.

- Increase understanding of specific educational and other strategies and the usefulness of the activities a facility has undertaken to increase student support and improve student outcomes; and
- Promote support and funding for a program or activity by illustrating the success of certain strategies in relation to improving student outcomes.

One way in which facilities can formalize the evaluation process for their IWPs is through development of a logic model. Creating and using a logic model is an outcome-based method for conducting program evaluation and can help a facility visually reflect the relationship between the resources available within a facility, the services and supports provided to students and staff, and the desired outcomes of operating an effective IWP (or other Part D program).<sup>13</sup> By placing the emphasis on the outcomes of IWP implementation, the facility has a clearer picture of end goals. In this way, use of a logic model can help in the formative evaluation of an IWP by focusing on the right evaluative questions and guiding discussion around what to do next if things do not turn out as expected in the initial implementation. Specifically, using a logic model or similar method of program evaluation can help a facility to answer two basic but important questions about their IWP:

**1. Are our resources and activities as implemented allowing for us to achieve our intended outcomes?**

Addressing this first question will help measure a facility’s progress toward reaching pre-established benchmarks and their impact on desired student and staff outcomes. Additionally, it will provide information that facilities can use to guide future decisionmaking improvements.

**2. In what ways can we implement the project differently to achieve our desired outcomes?**

Seeking to answer the second question will lead a facility or program to decide whether or not the IWP as implemented, or an IWP in general, is the appropriate approach to helping children and youth who are N or D achieve success in institutional settings. If a facility discovers flaws in the implementation of an IWP, or that it is not meeting the requirements specified by Title I, Part D, or other applicable Federal and State regulations, corrective action can be taken to get the project back on track.

Above all else, ongoing evaluation of IWPs will inform the way a facility or program proceeds with the funding and provision of academic and related supports and services for their students. If data indicate that students’ basic academic, vocational, and transitional needs are being met, facilities may choose to narrow their focus on more specific outcomes. Consequently, they may have to realign priorities, services, and/or activities. Regularly revisiting and revising, when necessary, the IWP plan, drawing on the strengths of all involved staff, and promoting a shared goal is critical to running an effective IWP. Using individuals and entities external to the day-to-day workings of the IWP as an objective evaluator is also suggested for facilities whenever possible. Finally, collecting and using adequate evaluation data is necessary for doing all of the above. Tool C within the Institutionwide Project Planning and Implementation Tools section of this document, in addition to aiding in the needs assessment process, can be helpful in identifying needed or desired data, data sources, and expectations for the collection and analysis procedures.

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<sup>13</sup> Much more on the use of logic models for program evaluation is available in the W.K. Kellogg Foundation’s (2004) *Using Logic Models to Bring Together Planning, Evaluation, and Action: Logic Model Development Guide*, which is available online at <http://www.wkkf.org/Pubs/Tools/Evaluation/Pub3669.pdf> (PDF).

## Common Pitfalls in Operating Institutionwide Projects

NDTAC has identified<sup>14</sup> several areas where facilities often run into problems in the planning for and implementation of IWPs. SEA, SA, and facility administrators can use this information to help ensure that IWPs are run in the most appropriate and effective ways possible.

**Each facility or program needs its own comprehensive plan.** Each State-run facility must conduct and submit a comprehensive IWP plan for SA and SEA approval. Each IWP plan needs to be informed by the facility's own needs assessment. Therefore, SAs cannot submit the same plan for multiple facilities or programs for SEA approval.

**Each facility or program must conduct a comprehensive needs assessment across all program funding sources.** When combining Federal and State funds for the purposes of an IWP, each facility must conduct an assessment of the needs usually served by each individual funding source. For example, when combining Title I, Part D, with other funds, the facility or program assessment will want to take into account the educational needs of students that fall outside of the regular program of instruction. Overall, no single program's purpose should outweigh any other program within the IWP.

**Facilities must provide sustained, high-quality, onsite professional development for all involved staff.** Facilities are encouraged to, whenever possible, provide professional development that consists of more-than-annual or other periodic conferences and trainings. It is advisable that continuous professional development, based on the evolving needs of staff, be provided on the grounds of the facility. Additionally, professional development should be provided, as appropriate, to those staff who partner with teachers to support student achievement, such as administrators, instructional support staff, guidance counselors, student assessment service staff, transition coordinators, school-based security, treatment and medical staff, school volunteers, probation staff, paraprofessionals, and parents and other family members. Finally, it is important that facility administration, including the superintendent and other management personnel, demonstrate their support for and participate in relevant professional development opportunities alongside their staff.

**It is important that evaluation of IWPs include all involved staff, SEA representatives, and external experts from the field.** Evaluation should be a comprehensive internal and external process. In evaluating the effectiveness of an IWP, it is important that facility administration incorporate the feedback of all relevant instructional, security, support, and other staff involved in the care of children and youth within the facility. Additionally, it is important that SEA staff are included in the evaluation process. Finally, whenever possible, facilities are strongly encouraged to engage outside evaluators (e.g., staff from a regional educational laboratory, an institution of higher education, any other technical assistance provider, etc.) in the process. If resources do not permit the use of outside reviewers on an annual basis, facilities might consider employing such services every couple of years. Additionally, facilities can engage in a peer review process, as administrators and colleagues running IWPs in other facilities are often a good source of constructive feedback.

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<sup>14</sup> NDTAC conducted an analysis of Federal monitoring findings from fiscal year 2004–08, including those related to institutionwide projects. Detailed results will be available in the future *Monitoring 201* publication from NDTAC.

## **Institutionwide Project Planning and Implementation Tools**



## Tool A: Institutionwide Project Example<sup>15</sup>

A State's Rehabilitative School for Youth (RSY), which is a facility that serves preadjudicated and adjudicated boys and girls, uses its Subpart 1 funds in combination with other Federal and State funds to provide a comprehensive educational program that helps its students meet high academic standards. The RSY academic program has several key components:

- **Staff professional development.** In addition to providing instructors and other education staff with ongoing curriculum and instructional training through both onsite sessions and periodic regional retreats, the staff development component emphasizes collaboration between the teaching staff, security, and treatment staff at the institution.
- **Instructional materials and strategies.** Along with the purchase and use of appropriate technology hardware and software to enhance teaching and student learning, a crucial element of this component is training staff to use the equipment effectively and helping students to take advantage of the technology as part of the RSY effort to have students take responsibility for their own learning.
- **Classroom aides and transition counselors.** In addition to supporting teaching assistants who help students develop academic and life skills, RSY makes use of bilingual teacher aides to serve a growing Hispanic population which has a limited knowledge of English. Additionally, onsite transition counselors provide services and supports for youth who are returning to their home communities and schools, including an electronic portfolio that students can take back with them to the community.
- **Linkages with the community.** An important component in helping students make the transition back to their communities is the development of links with local social service agencies in each student's home community and school. Onsite staff work with each youth before leaving the institution to ensure they are connected to necessary community services and supports.
- **Tutors and mentors.** The RSY program also provides tutors and mentors from the surrounding communities within the residential units for additional student support outside school hours.
- **Assessment of student progress.** The RSY assesses the reading and math skills of all students who remain at the institution for at least 3 months. Additionally, the institution tracks student behavioral reports to assess and revise, as necessary, individual student behavior modification plans and classroom instruction and behavior management.

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<sup>15</sup> Adapted from *Title I, Part D: Neglected, Delinquent, and At-Risk Youth, Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk (N or D), Nonregulatory Guidance*. Washington, DC: United States Department of Education, 2006.

## Tool B: Possible Topic Areas and Indicators for Use in Creating a Facility Profile<sup>16</sup>

This tool provides one example of how facilities can go about identifying the aspects of their student and staff populations, programmatic services, operating environment, and more. The topic areas and indicators in this chart are meant to be examples and are not exhaustive or applicable to all facilities. Individual facilities will want to create their own facility profiles based on topic areas and indicators that best reflect their facility characteristics and specific IWP goals and objectives.

Student Demographics	Indicators
<input type="checkbox"/> Enrollment	<ul style="list-style-type: none"> <li>• The number of students in the facility</li> <li>• Number and percent of students in special education programs</li> <li>• Number and percent of students by demographic categories: age, gender, race/ethnicity, and other meaningful categories</li> </ul>
<input type="checkbox"/> Mobility/Stability	<ul style="list-style-type: none"> <li>• The mobility rate: the average length of stay for students in the facility</li> <li>• The stability rate: the percent of students who remain in the facility for the entire school year</li> </ul>
<input type="checkbox"/> Student Behavior	<ul style="list-style-type: none"> <li>• Completion of class assignment/following of class rules and class attendance</li> <li>• Classroom removals, fights/altercations, disciplinary tickets/write-ups</li> </ul>
<input type="checkbox"/> Limited English Proficiency	<ul style="list-style-type: none"> <li>• The percentage of students with limited English proficiency or who speak English as a second language</li> </ul>
Student Achievement	Possible Indicators
<input type="checkbox"/> Academic Performance	<ul style="list-style-type: none"> <li>• Classroom assessments and grades, facility-level assessments and State and local tests; student portfolios/examples of student work</li> <li>• Levels of proficiency attained/progress on desired outcomes</li> </ul>
<input type="checkbox"/> Completion Rates	<ul style="list-style-type: none"> <li>• Grade completion/promotion</li> <li>• High school diplomas/GED/other degrees awarded</li> </ul>
<input type="checkbox"/> Comparative Data	<ul style="list-style-type: none"> <li>• Performance of facility compared to students in the district public schools</li> <li>• Comparison of performances of students in various ethnic or programmatic subgroups (i.e., students with mental health needs and/or learning disabilities, limited English speakers, migrant students, etc.).</li> </ul>

<sup>16</sup> Adapted from *Designing Schoolwide Programs: Nonregulatory Guidance*, Washington, DC: United States Department of Education, 2006.

<input type="checkbox"/> Postsecondary	<ul style="list-style-type: none"> <li>• Number/percent of students earning postsecondary course credits</li> <li>• Number/percent of students earning vocational certificates and/or obtaining training hours</li> </ul>
<b>Curriculum and Instruction</b>	<b>Possible Indicators</b>
<input type="checkbox"/> Learning Expectations	<ul style="list-style-type: none"> <li>• Expectations that are communicated to the community, teachers, parents, and students about what students can and should learn</li> </ul>
<input type="checkbox"/> Instructional Program	<ul style="list-style-type: none"> <li>• Instructional activities, programs, or strategies used to teach the State content and achievement standards</li> </ul>
<input type="checkbox"/> Instructional Materials	<ul style="list-style-type: none"> <li>• The amount, quality, and availability of instructional materials, including textbooks, supplementary resources, and publication dates of the grade-level-adopted texts</li> </ul>
<input type="checkbox"/> Instructional Technology	<ul style="list-style-type: none"> <li>• The extent to which teachers use technology as a means to increase student achievement</li> <li>• Type of computers and other modern equipment available to students, faculty, and administration for instructional purposes</li> </ul>
<input type="checkbox"/> Support Personnel	<ul style="list-style-type: none"> <li>• Supplementary use of paraprofessionals and other support staff</li> </ul>
<b>High-Quality Professional Staff</b>	<b>Possible Indicators</b>
<input type="checkbox"/> Professional Development	<ul style="list-style-type: none"> <li>• The number of professional days or resources dedicated to professional development</li> <li>• Evaluations of professional development sessions and the amount of staff-generated professional development</li> </ul>
<b>Family and Community Involvement</b>	<b>Possible Indicators</b>
<input type="checkbox"/> Family Involvement	<ul style="list-style-type: none"> <li>• Evidence of a family involvement plan for volunteering, facility-based learning activities, program review and development</li> </ul>
<input type="checkbox"/> Communication With Parents	<ul style="list-style-type: none"> <li>• Amount, frequency, and quality of information disseminated to family members, and the quality of information disseminated (with provided examples)</li> <li>• Use of multiple languages in communication</li> </ul>
<input type="checkbox"/> Parent Roles	<ul style="list-style-type: none"> <li>• Amount and frequency of opportunities for family involvement in decisionmaking</li> </ul>
<input type="checkbox"/> Support for Families	<ul style="list-style-type: none"> <li>• Availability of information, training, and services to assist families of children with learning disabilities/special education needs; impoverished families; migrant families; and/or families with limited English proficiency</li> </ul>

School Context and Organization	Possible Indicators
<input type="checkbox"/> Facility Mission/Vision	<ul style="list-style-type: none"> <li>• Statement of the underlying philosophy of the facility</li> </ul>
<input type="checkbox"/> School Climate	<ul style="list-style-type: none"> <li>• The quality of student-teacher interactions</li> <li>• Student attitudes toward school and facility environment</li> <li>• Staff job satisfaction and staff expectations and beliefs about what students can accomplish</li> </ul>
<input type="checkbox"/> Coordination Plan	<ul style="list-style-type: none"> <li>• A description of the activities conducted to ensure that students' instructional day and treatment provision is coordinated so that student learning and rehabilitation is not fragmented</li> </ul>
<input type="checkbox"/> Management and Governance	<ul style="list-style-type: none"> <li>• The presence of engaged administrators</li> <li>• Level of staff input into decisionmaking</li> </ul>
<input type="checkbox"/> Student Discipline Policy	<ul style="list-style-type: none"> <li>• Clearly defined and articulated youth management and discipline policy, including policies that pertain to youth with disabilities</li> </ul>
<input type="checkbox"/> Health Services	<ul style="list-style-type: none"> <li>• Availability of facility-based health and social services for students, including full- or part-time counselors, psychologists, medical professionals, and nurse practitioners</li> </ul>

### Tool C: Sample Data Collection and Management Chart

Facilities can use this chart as an example of one way to organize the data they need or want to collect, the sources of that data, and a timeline and plan for completing data collection. This tool can be used for the purposes of both the needs assessment and evaluation processes. For both areas, facilities will want to identify data and collection methods that best fit their particular setting, goals, and objectives.

What Data Do I Need to Collect?	Data Method(s)/Source(s)	Collection Timeline/Deadline	Person(s) Responsible for Collection	Status
<b>Example</b> <i>Student Achievement:</i> <ul style="list-style-type: none"> <li>• Math test scores</li> <li>• Reading test scores</li> </ul>	CSPR	February 1, 2009	Data Coordinator	Submitted to ED; awaiting certification