

# Tools for Technical Assistance: Building and Measuring Capacity

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# Question Box

- Please direct questions to the question box. A webinar team member will try to assist you as soon as possible.

The screenshot shows a window titled "Questions" with a checkbox labeled "Show Answered Questions" which is checked. Below this is a table with three columns: "X", "Question", and "Asker". The table is currently empty. At the bottom of the window, there are two buttons: "Send Privately" and "Send to All".

X	Question	Asker
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# Purpose

- Share three tools from the Thought Leader Forum on Building and Measuring Capacity.
  - Additional information on the Forum will be provided in subsequent slides.
  - Link to the tools:  
<http://ncsi.wested.org/resources/tools-publications/>
    - Go to bottom of the page to the heading “State Capacity Building.”
- Offer suggestions for how these tools may be used by Technical Assistance (TA) Centers, Part B/Part C teams.

# Webinar Overview

- Overview of three tools from the Thought Leader Forum on Building and Measuring Capacity
  - National Center for Systemic Improvement (NCSI)  
Thought Leader Forum: Building and Measuring Capacity
  - Resource List: Tools for Building and Measuring Capacity
  - Practice Brief: Best Practice Recommendations for Building and Measuring Capacity
- Scenarios for use
- Questions

# Session Outcomes

- **Develop an understanding** of the **three tools** from the forum and **how the tools may be used** with Part B and Part C teams.

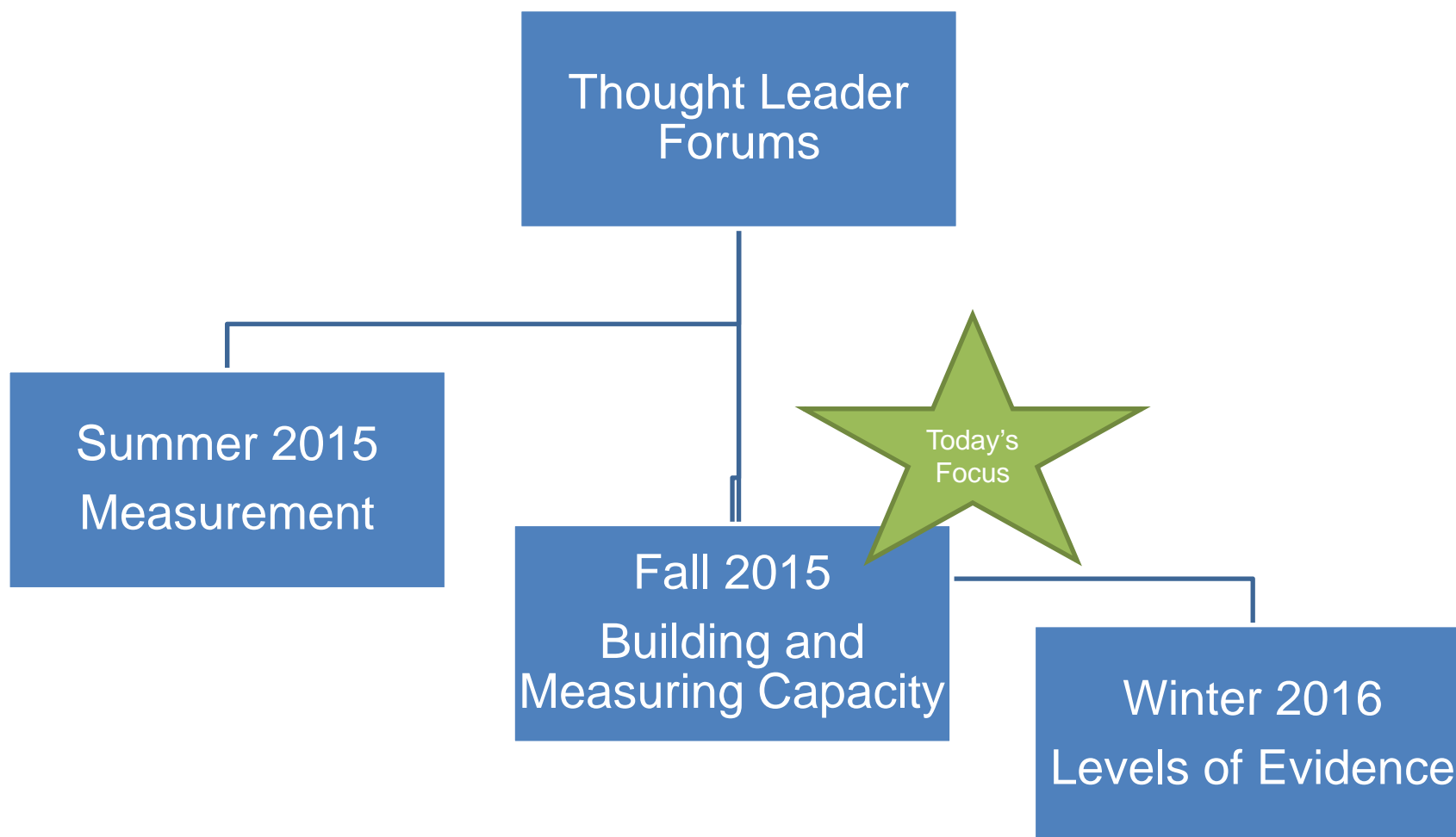
# Audience Poll

- What is your role?
  - Technical assistance provider
  - State, district, or school administrator
  - Teacher or other school staff
  - Other

# NCSI Thought Leader Forums



# Background Information





# Resources for Thought Leader Forums

- Measurement Thought Leader Forum:
  - SiMR Tracking Sample: What Are the Advantages of Tracking a Sample Over Time?
    - <http://ncsi.wested.org/wp-content/uploads/2016/01/NSCI-Brief-Advantages-of-Assessing-SiMR-Progress-by-Tracking-a-Sample-Over-Time-1.pdf>
- Levels of Evidence Thought Leader Forum:
  - What Counts as Evidence? Making Decisions for Instruction and Intervention within a Multi-Tiered System of Support
    - <http://ncsi.wested.org/resources/webinars/>

# Presenters

- Kristin Ruedel, Content Specialist, NCSI
- Jennifer Pierce, Content Specialist, NCSI
- Barbara Sims, Co-Director, SISEP
- Noelle Converse, Director, Special Education, Granite School District

# Tools



## Three Tools for Universal Technical Assistance

1. National Center for Systemic Improvement (NCSI) Thought Leader Forum: Building and Measuring Capacity
2. Resource List: Tools for Building and Measuring Capacity
3. Practice Brief: Best Practice Recommendations for Building and Measuring Capacity

# 1. NCSI Thought Leader Forum: Building and Measuring Capacity

## Dates and Overview

## Participants



Transforming State Systems to Improve Outcomes  
for Children with Disabilities

### National Center for Systemic Improvement (NCSI) Thought Leader Forum: Building and Measuring Capacity

#### Overview

The Thought Leader Forum on Building and Measuring Capacity convened in San Francisco, California, on November 12–13, 2015. Participants engaged in a series of small- and whole-group activities to achieve the intended forum outcomes.

#### Forum Participants

Fred Balcom, NCSI	Paul Koehler, WestEd
Johnny Collett, NCSI and Council of Chief State School Officers	Sheryl Lazarus, National Center on Educational Outcomes
Noelle Converse, Granite School District	Melinda Mitchiner, SWIFT Center
James (Jim) E. Coyle, Office of Child Development and Early Learning	Kelley Montoya, North Metro Community Services
Lou Danielson, NCSI	Dean H. Nafziger, Building State Capacity and Productivity Center
Harriet Dichter, State Capacity Building Center	Jill M. Pentimonti, NCSI
Bill East, NCSI	Jennifer D. Pierce, NCSI
Ardith Ferguson, NCSI	Kristin Reedy, NCSI
Tom Fiore, IDEA Data Center	Virginia Reynolds, NCSI
Rorie Fitzpatrick, NCSI	Greg Roberts, NCSI
Lenita Hartman, Colorado Department of Human Services	Kristin Ruedel, NCSI
Lynn Holdheide, NCSI, Center on Great Teachers and Leaders, and CEEDAR	Patricia Ryan, State Capacity Building Center
Stephanie Jackson, NCSI and Center on Response to Intervention	Barbara Sims, State Implementation and Scaling-up of Evidence-Based Practices Center
Debra Jennings, NCSI	Paul Sindelar, CEEDAR
Jennifer Johnson Howell, Utah State Office of Education	Donna Spiker, DaSy Center
Christina Kasprzak, Early Childhood Technical Assistance Center, DaSy, Frank Porter Graham Child Development Institute	Anne Louise Thompson, NCSI
Christy Kavulic, Office of Special Education Programs	Deanne Unruh, National Technical Assistance Center for Transition
	Sara Wraight, Midwest Comprehensive Center



# 1. NCSI Thought Leader Forum: Building and Measuring Capacity

## Objectives

### Forum Outcomes

1. Develop a **shared conceptualization of capacity building** to achieve the vision of improved results for infants, toddlers, children, and youth, including those with disabilities.
2. Identify the **key components for measuring capacity-building efforts**.
3. Create **best practice recommendations** to support efforts to build capacity.
4. Create **best practice recommendations** to measure success in capacity-building efforts.

**Accomplishing Outcomes 1 and 2:** Participants first discussed their existing definitions of the term *capacity* in small groups, using research from Fullan (2005), Massell (1998), and O'Day, Goertz, and Floden (1995) to ground their conversations. Participants then learned about the results from a survey on the key components of building and measuring capacity. This survey, conducted by the Thought Leader Forum planning team to collect advance data from participants, found that forum participants viewed "capacity building" as consisting of at least eight components: (1) leadership, (2) alignment, (3) contextual factors, (4) data-based decision making, (5) stakeholder engagement and communication, (6) technical assistance, (7) vision and goals, and (8) resources.

After learning about the survey results, forum participants divided into small groups to discuss and propose a definition of *capacity building*. Participants were reminded that any proffered definitions of capacity building should help to clarify the components for measuring capacity-building efforts. The forum participants then reconvened as a whole group, sharing small-group work and ultimately determining that capacity building consists of five key components: (1) leadership, (2) alignment, (3) data-based decision making, (4) stakeholder engagement, and (5) readiness. Participants agreed these were the components for measuring capacity-building efforts. Three components identified as central in capacity building in survey findings (i.e., vision and goals, resources, and contextual factors) were incorporated into the other five components. Readiness, however, was a newly identified component of capacity building.

**Accomplishing Outcomes 3 and 4:** With a shared conceptualization of "building capacity" in mind, participants then returned to their small groups. Each small group adopted one of the five components (e.g., leadership, alignment, stakeholder engagement, data-based decision making, or readiness) and identified best practices to build capacity and to measure capacity-building efforts. A selection of these best practice recommendations is described on the following page.

## 1. NCSI Thought Leader Forum: Building and Measuring Capacity

- **Capacity:** the ability of a system and the individuals working within it to produce improved outcomes for the infants, toddlers, children, and youth within the system.
  - ***Individual capacity:*** knowledge, skills, and disposition
  - ***Capacity of a system:*** the degree to which organizational **structures and processes** support sustained change

# 1. NCSI Thought Leader Forum: Building and Measuring Capacity

Outcomes:  
Components of Building and Measuring Capacity

***Leadership, Alignment, Data-Based Decision Making, Stakeholder Engagement***

## Forum Outcomes

1. Develop a **shared conceptualization of capacity building** to achieve the vision of improved results for infants, toddlers, children, and youth, including those with disabilities.
2. Identify the **key components for measuring capacity-building efforts**.
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# 1. NCSI Thought Leader Forum: Building and Measuring Capacity

## Outcomes

### Best Practices for Building Capacity in Alignment

- Conduct an analysis of the system, including an inventory of all existing initiatives, resources, personnel, and the skill sets of personnel.
- Create a plan that explicates the vision and path toward a common goal. Ensure that plan is housed in a readily accessible, centralized location, and that it is widely communicated.
- Align initiatives, resources, and personnel according to the system analysis, reducing potential for the duplication of efforts or competing initiatives.

### Best Practices for Building Capacity in Leadership

- Create and use an intentional plan for building systemwide supportive and engaged leadership.
- Ensure leaders identify the critical levers to begin systemwide improvement efforts.
- Encourage the emergence of new leaders.

As forum participants engaged in this work, the group collectively began to reconsider the role of one component—readiness—in capacity building. Participants ultimately concluded that readiness is not a separate component of capacity building. Rather, readiness *describes* the status of other components (e.g., the degree to which leadership is ready for building and measuring capacity).

The forum concluded with a whole-group discussion of next steps. Collectively, the participants requested that the work from the forum continue so that it could enrich existing efforts among those interested in building and measuring capacity.

## List of Other Tools

### Forum Next Steps

Two additional documents on building and measuring capacity are now available. Both documents directly incorporate the ideas and work of forum participants. The purpose of these documents is to assist efforts to build and measure capacity in the context of results-driven accountability.

- *Resource List: Tools for Building and Measuring Capacity.* This document categorizes capacity tools so that teams can determine which ones may be most helpful in their efforts to build and measure capacity.
- *Practice Brief: Best Practice Recommendations for Building and Measuring Capacity.* This document defines the essential components of capacity building and provides an at-a-glance summary of best practice recommendations for building and measuring capacity.

# Audience Poll and Questions

- Who might find this tool helpful to their work?
  - Part B/Part C teams, TA Center staff, or other
- What questions or comments do you have about the tool?

## 2. Resource List

Background

Four Components:  
Capacity Building



Transforming State Systems to Improve Outcomes  
for Children with Disabilities

### Resource List: Tools for Building and Measuring Capacity

Capacity refers to the ability of an early intervention/educational system and the individuals working within it to produce improved outcomes for the infants, toddlers, children, and youth within the system. Individual capacity includes a person's existing knowledge, skills, and disposition toward change. Capacity of an early intervention/educational system includes the degree to which organizational structures and processes support sustained change that ultimately leads to improved child/student outcomes.

Many components are important when attempting to build and measure changes in capacity. For example, the coordination of resources, development of infrastructure to support effective professional development, alignment of organizational structures and leadership, and use of instructional practices shown to improve developmental, academic, and behavioral outcomes are all important when building and measuring capacity (Fullan, 2005; Massell, 1998; O'Day, Goertz, & Floden, 1995). Furthermore, several researchers and leading experts in building and measuring capacity agree that at least four components are essential to this work:<sup>1</sup>

1. **Stakeholder engagement:** The active involvement of a broad range of people in order to problem-solve complex issues and problems
2. **Data-based decision making:** A set of explicit procedures for readily using data to make decisions
3. **Alignment:** The presence of fully linked systems, initiatives, programs, and divisions to achieve a common vision or goal
4. **Leadership:** The supportive and engaged guidance from those in a position of formal or informal authority to achieve a common vision

Myriad tools exist that can be used for building and measuring capacity. These tools are typically geared toward state-level teams and lead agencies, or toward local-level teams. Given the large number of tools that exist, teams may be uncertain which tool is best suited to their needs. **The Resource List: Tools for Building and Measuring Capacity** categorizes these tools so that teams can determine which ones may be most helpful in their efforts to build and measure capacity.

- The majority of the tools included in this product address the four components of capacity previously identified: stakeholder engagement, data-based decision making, alignment, and leadership. One tool (the Multi-Attribute Consensus Building Tool) focuses on one specific component of capacity—stakeholder engagement.

<sup>1</sup> For more information about this team of experts, refer to the document *National Center for Systemic Improvement (NCSE) Thought Leader Forum: Building and Measuring Capacity*.

## 2. Resource List

### Directions

- Note that all of the tools can be used by teams to build capacity *and* measure capacity.
- Tools on building and measuring capacity have been categorized in two charts according to audience. Figure 1 shows tools for Part B **state-level teams** and Part C **lead agency teams**. Figure 2 shows tools for Part B **local-level teams** and Part C **early intervention service teams**. Three tools that can be used by either type of audience are noted within the figure footnotes.
- The tools have been subcategorized according to one of two purposes: (1) tools used for building and measuring capacity within an overall system, and (2) tools for building and measuring capacity within systems focused on improving outcomes among all young children/students, particularly those with disabilities.

The following steps describe the process for locating the most useful tool for building and measuring capacity:

1. Identify the audience. Figure 1 shows tools for Part B state-level teams and Part C lead agency teams. Figure 2 shows tools for Part B local-level teams and Part C early intervention service teams.
2. Identify the context for use (e.g., overall system or for systems particularly focused on those with disabilities).
3. Read the brief description of each tool and pinpoint the one most likely to meet your need.
4. Click on the title of the tool to locate it.
5. Refer to the Annotated Bibliography section for detailed information about the resource.

### References

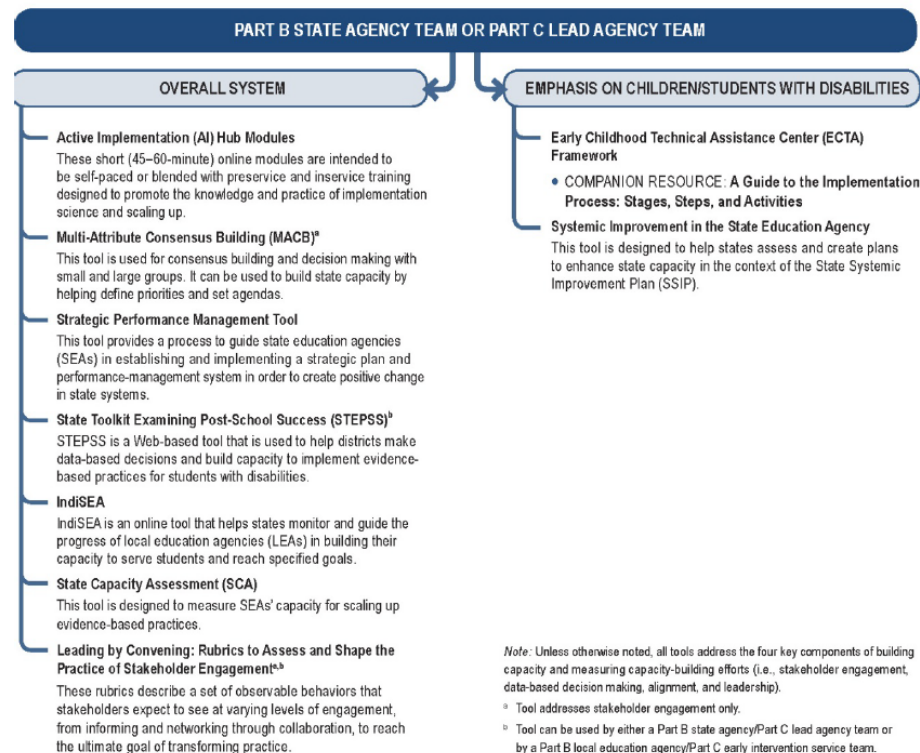
- Fullan, M. (2005). Turnaround leadership. *The Educational Forum*, 69(2), 174–181.
- Massell, D. (1998). *State strategies for building capacity in education: Progress and continuing challenges* (CPRE Research Report Series RR-41). Philadelphia: University of Pennsylvania, Graduate School of Education, Consortium for Policy Research in Education. Retrieved from [http://www.cpre.org/images/stories/cpre\\_pdfs/rr41.pdf](http://www.cpre.org/images/stories/cpre_pdfs/rr41.pdf)
- O'Day, J., Goertz, M. E., & Floden, R. E. (1995). *Building capacity for education reform*. Philadelphia: University of Pennsylvania, Graduate School of Education, Consortium for Policy Research in Education. Retrieved from <http://www2.ed.gov/pubs/CPRE/rb18/index.html>

## 2. Resource List—Figures

- Figure 1: Part B **State-Level** Team OR  
Part C **Lead Agency** Team
- Figure 2: Part B **Local-Level** Team OR  
Part C **Early Intervention Service** Team

## 2. Resource List—Figure 1

**Figure 1. Tools for Building and Measuring Capacity: Part B State-Level Teams or Part C Lead Agency Teams**



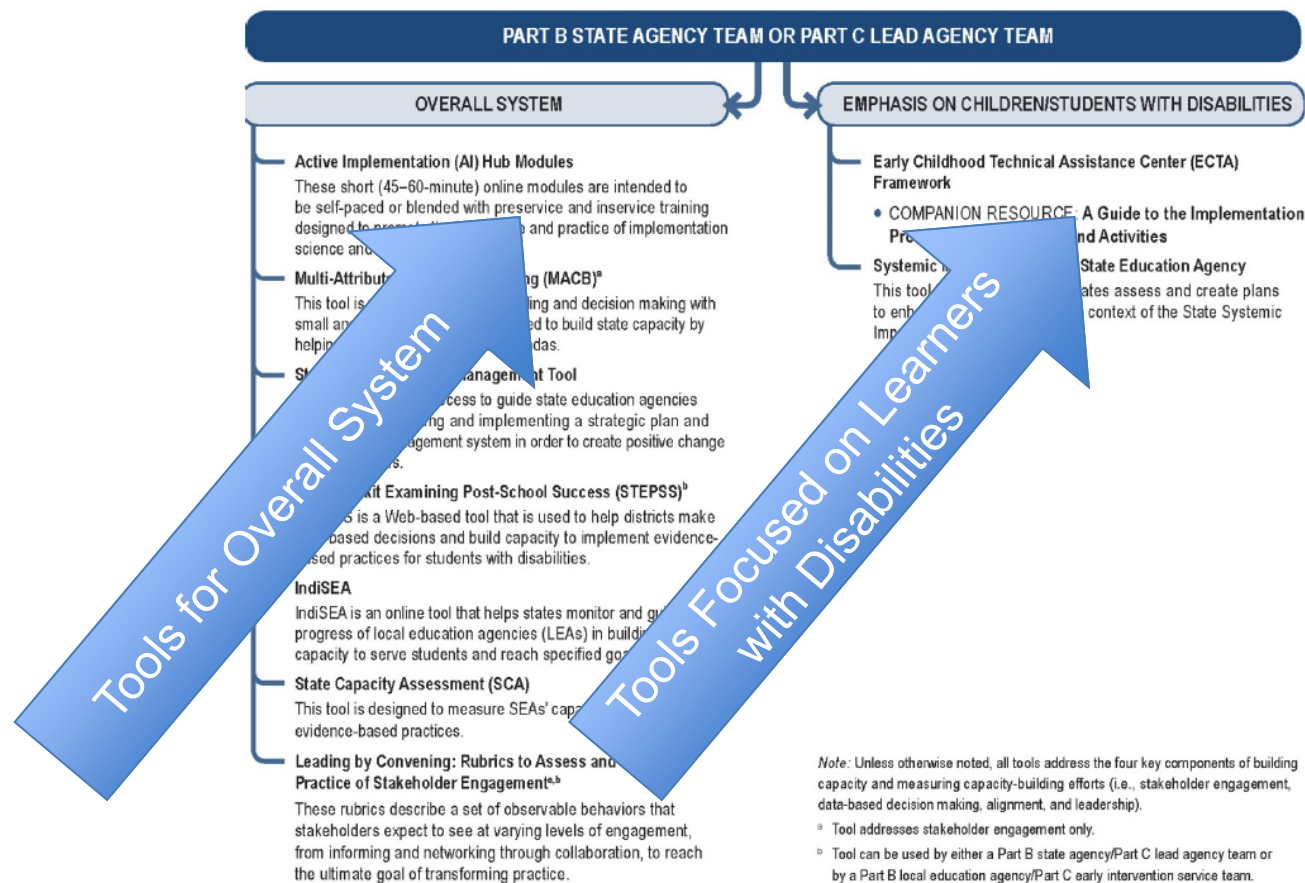
Tool Title, Summary, and Link

Footnote if addressing *specific* component of capacity building



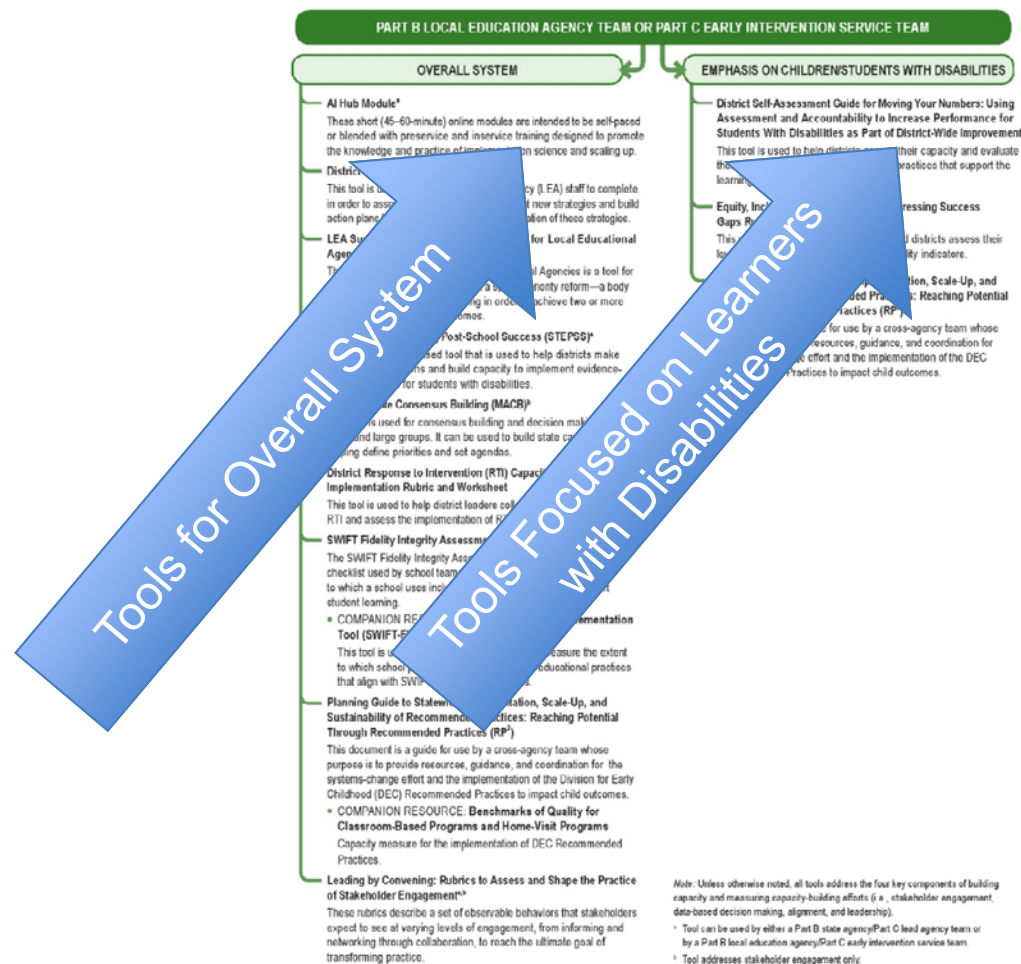
## 2. Resource List—Figure 1

**Figure 1. Tools for Building and Measuring Capacity: Part B State-Level Teams or Part C Lead Agency Teams**



## 2. Resource List—Figure 2

Figure 2. Tools for Building and Measuring Capacity: Part B Local-Level Teams or Part C Early Intervention Service Teams





## 2. Resource List

### Annotated Bibliographies

#### Annotated Bibliography of Tools: Building and Measuring Capacity

##### Active Implementation Hub

The National Implementation Research Network's Active Implementation Hub. (2015). *Modules and lessons*. Retrieved from <http://implementation.fpg.unc.edu/modules-and-lessons>

**Summary:** This webpage provides several modules and lessons designed to support implementation of evidence-based practices at the state and local levels.

**Intended Audience:** Educators, researchers, and technical assistance providers

**Description of Tool:** "AI Modules are short (45–60 minute) online modules designed to be self-paced, or blended with preservice and inservice training. They include content, activities and assessments designed to promote the knowledge and practice of implementation science and scaling-up."

"AI Lessons are very short (5–15 minute), interactive web presentations designed to help you and your team get started and get better with Active Implementation. They focus on specific implementation tools and practices and can be viewed online for self-paced learning or used for professional development in a team setting" (The National Implementation Research Network's Active Implementation Hub, 2015).

##### A Guide to the Implementation Process: Stages, Steps and Activities

Early Childhood Technical Assistance Center. (2014). *A guide to the implementation process: Stages, steps, and activities*. Chapel Hill: University of North Carolina at Chapel Hill, Frank Porter Graham Child Development Institute, Early Childhood Technical Assistance Center. Retrieved from <http://ectacenter.org/~pdfs/implementprocess/implementprocess-stagesandsteps.pdf>

# Perspectives From Forum Participants



Barbara Sims



Noelle Converse

# Audience Poll and Questions

- Who might find this tool helpful to their work?
  - Part B/Part C teams, TA Center staff, or other
- What questions or comments do you have about the tool?

# 3. Practice Brief

## Background and Definition of Capacity

## Four Components of Capacity Building

### Practice Brief: Best Practice Recommendations for Building and Measuring Capacity

Capacity refers to the ability of an early intervention/educational system and the individuals working within it to produce improved outcomes for the infants, toddlers, children, and youth within the system, including those with disabilities. Individual capacity includes a person's existing knowledge, skills, and disposition toward change. Capacity of an early intervention/educational system includes the degree to which organizational structures and processes support sustained change that ultimately leads to improved child/student outcomes.

Many components are important when attempting to build and measure changes in capacity. For example, the coordination of resources, development of infrastructure to support effective professional development, alignment of organizational structures and leadership, and use of instructional practices shown to improve developmental, academic, and behavioral outcomes are all important when building and measuring capacity (Fullan, 2005; Massell, 1998; O'Day, Goertz, & Floden, 1995). The National Center for Systemic Improvement recently convened a Thought Leader Forum to address what is meant by building and measuring state capacity. Researchers, practitioners, and technical assistance providers at the forum agreed that at least four components are essential to this work:<sup>1</sup>

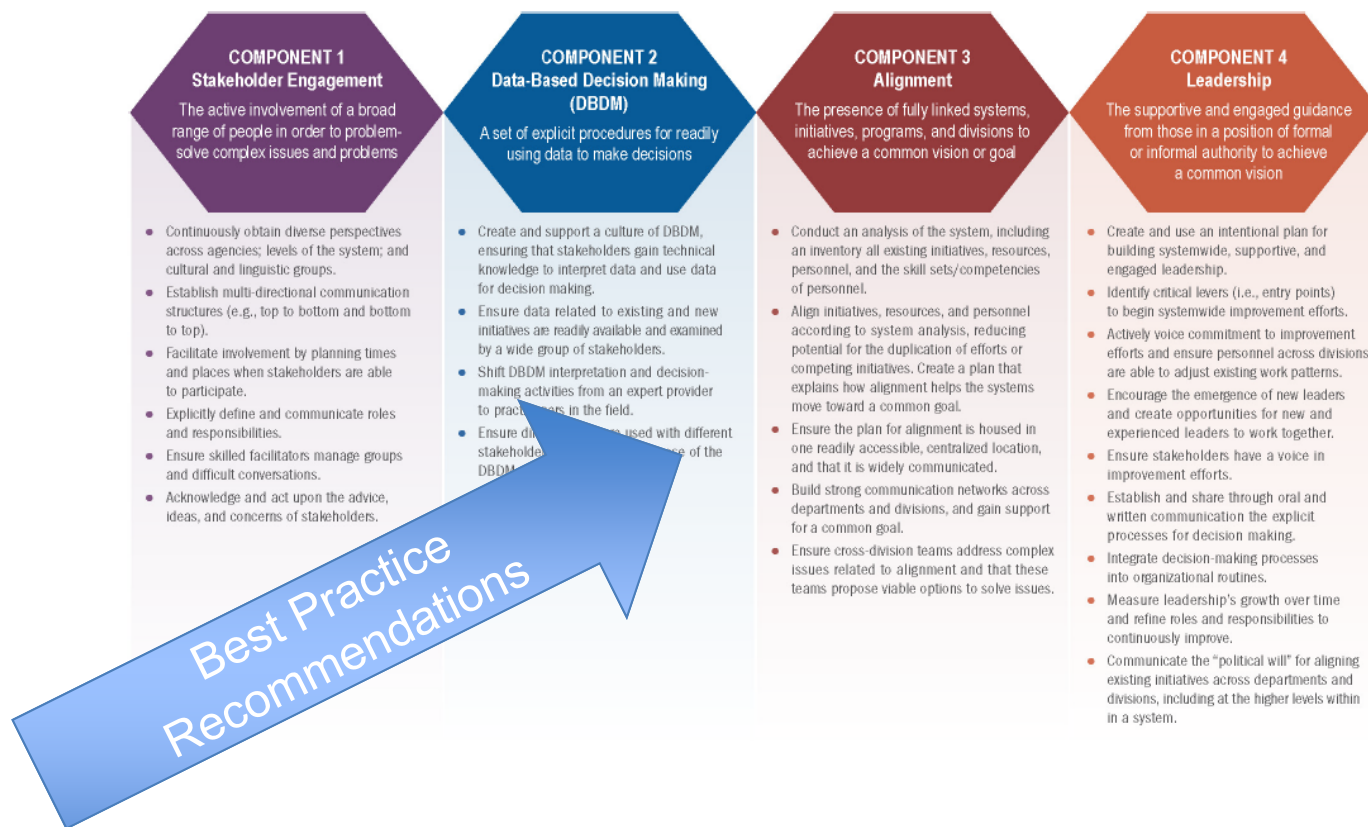
1. **Stakeholder engagement:** The active involvement of a broad range of people in order to problem-solve complex issues and problems
2. **Data-based decision making:** A set of explicit procedures for readily using data to make decisions
3. **Alignment:** The presence of fully linked systems, initiatives, programs, and divisions to achieve a common vision or goal
4. **Leadership:** The supportive and engaged guidance from those in a position of formal or informal authority to achieve a common vision

**This practice brief is designed to define the essential components of capacity and to provide an "at a glance" summary of best practice recommendations for building and measuring capacity. These recommendations are presented in Figure 1. Each diamond within the graphic contains a component of capacity (e.g., stakeholder engagement, data-based decision making, alignment, or leadership) with a brief definition. Best practice recommendations are listed in the box attached to each diamond. These best practices reflect the most important tasks that capacity-builders should undertake when building and measuring capacity. Individuals or teams can use recommendations as they attempt build and measure their capacity to improve**

<sup>1</sup> For more information about this team of experts, refer to the document *National Center for Systemic Improvement (NCI) Thought Leader Forum: Building and Measuring Capacity*.

# 3. Practice Brief

**Figure 1. Best Practice Recommendations for Building and Measuring Capacity**



# 3. Practice Brief

## Spotlight on Readiness

### Spotlight: Readiness

This practice brief presents and defines four essential components of building and measuring capacity. To produce outcomes among all infants, toddlers, youth, and children systems, including organizations and the individuals working within those organizations, we must continually consider developing in at least four areas. Systems must refine how they engage stakeholders and use data-based decision making. Continual growth also must be made in how leaders operate within the systems. Divisions and departments must refine their work, becoming more aligned and focused on a vision of improved outcomes for all children.

This brief provides recommendations for best practices in building capacity in stakeholder engagement, data-based decision making, leadership, and alignment. For example, building capacity in stakeholder engagement includes such action as continuously obtaining diverse perspectives across all levels of the system and across different cultural and linguistic groups. Providing regular communication in a multidirectional manner (e.g., top to bottom and bottom to top) is another best practice in building capacity in stakeholder engagement.

Building capacity also is influenced by at least one additional factor: readiness. Readiness can be defined as the presence of clear indicators that demonstrate that individuals and the organization are primed to undertake the changes required to implement new programs and practices. Readiness is important because the presence of it seems to minimize future resistance to change and helps foster a supportive climate for change (Damschroder et al., 2009; Fixsen, Naoom, Blase, Friedman, & Wallace, 2005; Greenhalgh et al., 2004). These researchers suggest that indicators of readiness include the observable presence of the following:

1. The commitment and involvement of leaders (e.g., leaders explicitly communicate they are primed to guide others within the system toward the accomplishment of a specific goal)
2. The availability of resources such as funding, training, time, and so on (e.g., financial resources are filtered toward activities that help to achieve the common goal)
3. The accessibility of clear information about the innovation, program, or practice to be implemented (e.g., summaries of best practices for reading are provided to schools within each district in the state)

With regard to capacity, individuals and the organization will need to clearly demonstrate they are primed for change. However, capacity-builders should avoid *waiting* for such overt demonstrations of readiness, with the assumption that indicators of readiness will automatically appear. Rather, capacity-builders may need to *help* individuals and the organization move toward readiness, with the understanding that readiness can be developed over time (Barrett et al., 2013; Fixsen et al., 2013; Glover & DiPerna, 2007). Strategies for supporting readiness are available within several of the tools listed within the accompanying *Resource List*.



# Audience Poll and Questions

- Who might find this tool helpful to their work?
  - Part B/Part C teams, TA Center staff, or other
- What questions or comments do you have about the tool?

# Scenarios





# Scenario 1 and Audience Poll

- A Part B State Team wants to better understand how to build capacity and measure the degree to which their capacity has developed over time. They ask for resources from you.
  - Which tool(s) from the Thought Leader Forum could you share with the state?

# Scenario 1

## Practice Brief

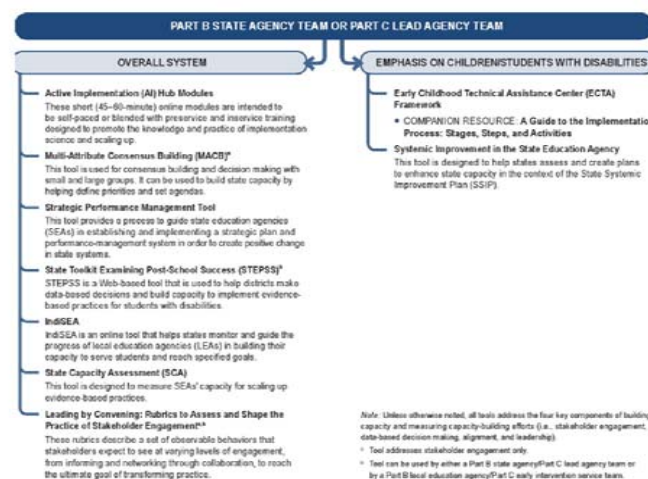
## Resource List: Figure 1 for State Teams

Figure 1. Best Practice Recommendations for Building and Measuring Capacity



3

Figure 1. Tools for Building and Measuring Capacity: Part B State-Level Teams or Part C Lead Agency Teams



## Scenario 2 and Audience Poll

- A Part C Lead Agency Team requests assistance in how to align programs and divisions.
  - Which tool(s) from the Thought Leader Forum could you share with the state?

# Scenario 2

## Practice Brief: Component 3, Alignment

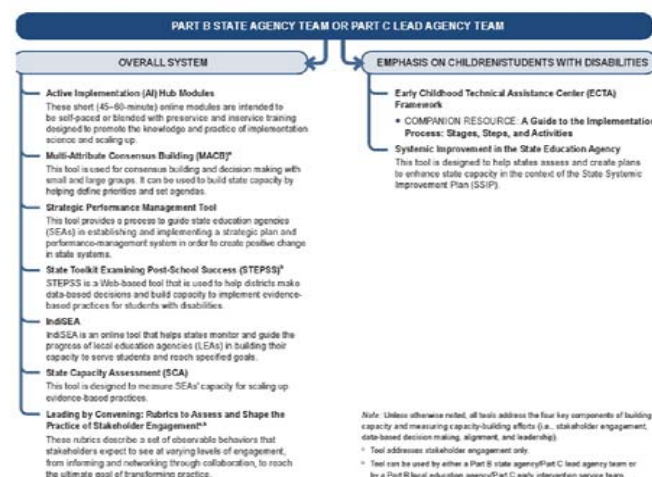
Figure 1. Best Practice Recommendations for Building and Measuring Capacity



3

## Resource List: Figure 1 for Lead Agency Part C Teams

Figure 1. Tools for Building and Measuring Capacity: Part B State-Level Teams or Part C Lead Agency Teams



## Scenario 3 and Audience Poll

- A Part B and a Part C TA facilitator are planning a call with a State Systemic Improvement Plan team.
- The state team requests resources they can use with Part B local-level teams and Part C early child care providers.
- They are particularly interested in resources focused on Stakeholder Engagement.
  - Which tool(s) from the Thought Leader Forum could you share with the state?

# Scenario 3

## Practice Brief: Component 1, Stakeholder Engagement

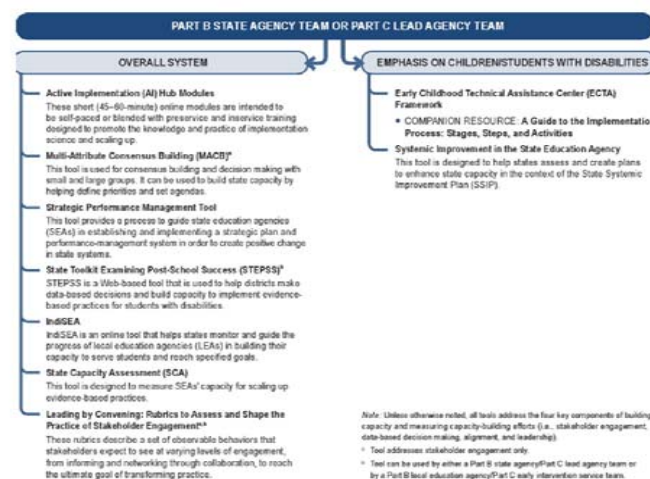
## Resource List: Figure 1 for Local and Early Intervention Teams

Figure 1. Best Practice Recommendations for Building and Measuring Capacity



3

Figure 1. Tools for Building and Measuring Capacity: Part B State-Level Teams or Part C Lead Agency Teams



# Questions

# Final Thoughts and Thank You

- We hope you find the tools useful in your work to support Phase II and III.
- Thank you for your time and participation!
  - Survey link:  
[https://utexas.qualtrics.com/SE/?SID=SV\\_6Yk7Z2Cp7QDYXhr](https://utexas.qualtrics.com/SE/?SID=SV_6Yk7Z2Cp7QDYXhr)
- Please contact Jennifer for further information, feedback, or ideas for future use:
  - [jpierce@air.org](mailto:jpierce@air.org)



# Thank You!

<http://ncsi.wested.org> | @TheNCSI

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