

Scaling Evidence-Based Interventions: Insights from the Experiences of Three Grantees

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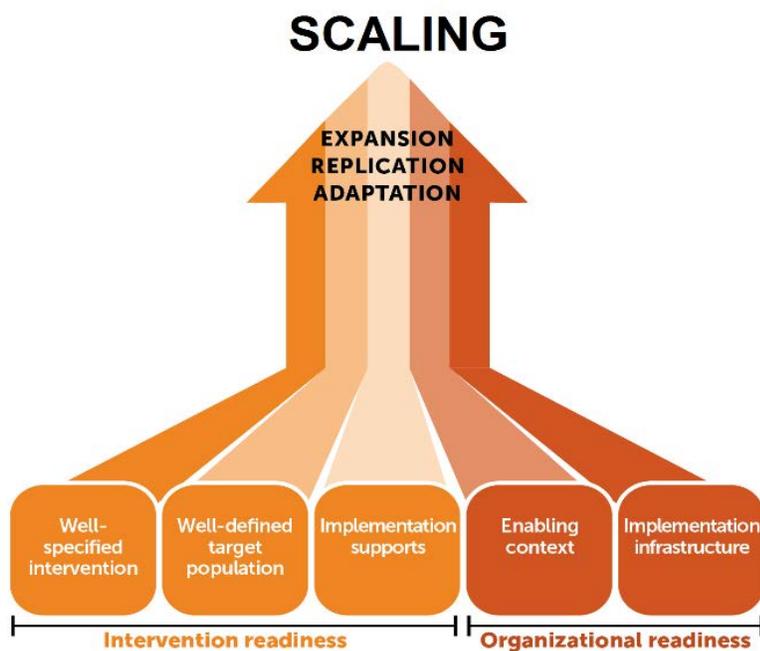
EXECUTIVE SUMMARY

The Corporation for National and Community Service (CNCS) invests significant resources in interventions designed to improve lives and strengthen communities, in evaluating the effectiveness of these interventions, and in supporting the scaling of effective interventions to serve new communities or populations. CNCS is interested in learning about factors that facilitate or impede such scaling. Therefore, CNCS contracted with Mathematica in 2016 to conduct a project, entitled Scaling Evidence-Based Models (SEBM), that aims to deepen the agency's understanding of effective interventions and its knowledge base on scaling them.

Although many CNCS grantees have plans for scaling their interventions, little information is available regarding their scaling efforts. Mathematica, in consultation with CNCS, developed a scaling framework to inform the work on this project. Using it as a guide, Mathematica is conducting a process study of three CNCS-funded grantees and their partners to learn how they scaled their interventions, what factors facilitated or hindered scaling, and the conditions required for successful scaling (that is, what is needed for interventions to maintain their effectiveness after scaling). This report presents insights from a cross-site analysis of information collected during process study site visits with these grantees.

The scaling framework. Mathematica's scaling framework identifies five conditions necessary to successfully scale an intervention (Figure ES.1). The first three conditions indicate whether an intervention is ready to be successfully scaled:

Figure ES.1. Necessary conditions for successful scaling of interventions



1. **A well-specified intervention** consists of a description of the content, the mode of service delivery, the intensity, workforce needs, and setting for each core element.
2. **A well-defined target population** means a description of the population for which the intervention was found to be effective.
3. **Implementation supports** include a description of the processes and supports in place to ensure the intervention can be implemented with fidelity to its model, such as a team that monitors implementation, continuous quality improvement processes, and pre-service and in-service workforce training requirements.

The final two conditions indicate that an organization might be ready to scale an intervention:

1. **Enabling context** consists of a description of the presence of organizational leadership and culture that supports innovation, learning, and improvement for an intervention.
2. **Implementation infrastructure** includes a description of the organizational infrastructure, such as a human resources system, workforce, funding, materials, and physical space, which supports implementation.

Scaling an intervention enables more people to participate in it, and scaling successfully means that the beneficial impacts of the intervention on participants that have been found through rigorous scientific research have been maintained or surpassed. CNCS-funded grantees have used three approaches to scale their interventions: expansion, replication, and adaptation. **Expansion** extends the intervention to more people in the same target population in the same location. **Replication** extends the intervention to the same target population in a new location. **Adaptation** extends the intervention to a new target population or implements it in a new setting (type of location).

Process study research questions, grantees, and data collection and analysis methods.

The cross-site process analysis presented in this report was designed to address two overarching research questions: (1) how does the organization define and operationalize scaling? and (2) how do organizations scale successful interventions? Our insights on these issues focus primarily on the approaches the three process study grantees have taken and the experiences they have had when scaling. As a result, they are more broadly applicable to a range of interventions and organizations. Additionally, while the insights are derived from

Three process study grantees and their scaled interventions

Parent Possible, implementing the Home Instruction for Parents of Preschool Youngers (HIPPPY) program in Colorado

The Child Abuse Prevention Council (CAPC), implementing the Birth and Beyond (B&B) Home Visitation Program in Sacramento County, California

United Ways of Iowa, implementing the Reading Corps program in Iowa

the grantees' experiences during scaling, they may also be more broadly applicable to implementation experiences other than scaling.

The three grantees in the process study were selected by CNCS from among a broader group of 2015 and 2016 AmeriCorps grantees and 2010 and 2011 Social Innovation Fund grantees. The selected grantees demonstrated an organizational readiness to scale and were operating interventions that demonstrated evidence of effectiveness. They were selected to vary on several characteristics, such as size, intervention focus areas, types of scaling, the successes and challenges with their scaling experiences, and their efforts to codify lessons learned. At the time of their selection, all three grantees were replicating their interventions at new sites, two were expanding services at existing sites, and two were adapting services to either serve a new target population or better serve an existing one. Two of the grantees were scaling interventions created by an external developer; the other was scaling a complex intervention that included both activities based on a curriculum from an external developer and activities developed by the grantee.

The analysis is based on information from two-day visits to each grantee during October 2018; follow-up telephone interviews with one grantee in November 2018; and a review of program documents, such as recruitment materials and manuals for personnel. The visits typically consisted of one-on-one or small group interviews with: (1) the program manager who oversees the intervention; (2) a grantee executive; (3) one or more other grantee administrators; and (4) frontline staff and AmeriCorps members who are responsible for delivering the intervention. Site visitors also met with personnel from partner organizations. To conduct the analysis, we developed a site-specific template to code information according to topics of interest, assessed the topic-specific information to identify themes and insights, and used specific examples from the grantees to illustrate insights for this report.

Insights from the process study cross-site analysis. The insights from the analysis pertain to two broad areas: (1) the approaches that grantees and their partners took to scaling—including how grantees viewed scaling and their actions when the scaling was taking place; and (2) specific aspects of how they scaled—including the organizational resources needed to scale, implementation supports, the organizations' enabling contexts, and the use of evaluations in scaling efforts—and the challenges and facilitators they faced with these aspects of scaling.

Approaches to scaling. The three grantees identified and pursued opportunities through which scaling could address community needs, but the availability of funding and stakeholder interest could influence where, when, and how scaling occurred. Funding could be available to scale services in one part of a geographic area but not another, for example. In addition, contractual arrangements for using an intervention model could make replication and expansion more feasible than adaptation because intervention developers external to grantees had prescriptive rules guiding

implementation of their intervention models. More broadly speaking, though, site visitors perceived that grantees do not seem to view scaling as an activity fundamentally different from the other implementation activities they pursue (and that also align with the program's mission and the grantee's desire to serve the community). Scaling could be viewed, at least partly, as business as usual for the grantees as they strove to identify and implement innovative ways to provide services.

Implementation infrastructure. Some resources that are part of an organization's implementation infrastructure for scaling were easily obtained but others posed more challenges. Grantees were easily able to acquire intervention materials and physical space to implement the interventions—likely due, in large part, to the use of externally-developed interventions and the ability of personnel to meet participants at home for two of the interventions and at school for the third. However, approaches to personnel and human resource systems while scaling the interventions were more complicated and raised three areas of concern. First, when replicating an intervention at new sites, grantees needed to strike a balance between having enough personnel at the new sites to implement the intervention effectively and avoiding inefficiencies that would arise as procedures at the new sites were developed and refined. Second, administrators at the two grantees that adapted their interventions to serve a new target population, or better serve an existing one, needed to consider the linguistic and cultural needs of the personnel best suited to serve members of the target population. Third, administrators from all three grantees reported difficulty recruiting and retaining the needed number of AmeriCorps members. Although this could pose a challenge for grantees regardless of whether or not they are scaling and could suggest a need nationwide to address recruitment challenges (such as through a national recruitment campaign), scaling exacerbated the issue by increasing the needs for AmeriCorps members.

In addition, funding sources facilitated scaling, but also presented some challenges. Administrators at two of the three grantees highlighted the precarious nature of their intervention activities due to the short-term nature of grants and the need to continually search for new funding. This led to use of a mix of funding sources, which could be inefficient because each source had its own eligibility or reporting requirements. Different funders might also have different time frames or interests that could pressure grantees to adapt their activities to suit the funder.

Implementation supports. Several implementation supports, such as training and communications, were impacted by the additional personnel needed for scaling. For example, scaling meant the need to adapt training logistics to accommodate a larger number of personnel across additional locations. As a result, grantees for all three interventions conducted more decentralized trainings, and they developed site-specific materials to help personnel better apply the information obtained through training to their distinct circumstances. In addition, scaling meant that face-to-face communication was less feasible, so all three grantees relied on technology (such as email or video chat) and small-group meetings to convey important information. Furthermore, the

combination of scaling activities and day-to-day program operations left little time for grantee personnel to develop or conduct a continuous quality improvement process to create and test strategies to address implementation challenges and, as a result, improve the program.

Enabling context. Grantees and partners typically had support from internal and community leaders, as well as other stakeholders, to scale their interventions. Across the grantees, personnel implementing the intervention reported feeling supported in their positions by their organizational leaders, and they fostered a collegial and collaborative environment. Despite this high level of support, program scaling was sometimes impeded because of organizational turnover, policies, or other challenges. For example, some personnel at one grantee organization discussed how a transition of organizational leadership led to a decrease in the responsiveness of leadership to frontline personnel. For another grantee, organizational policies that limited where and how they could fundraise presented barriers to successful scaling. Furthermore, although all three grantees valued partners' contributions, they noted that a partner's goals might not perfectly align with the grantee's goals. This could limit scaling, such as by restricting the potential for serving a new target population.

Use of evaluations in scaling efforts. In general, when grantees and partners used data, they did so to monitor performance and report to funders. They were not conducting internal evaluations related to the effect of the interventions on their program participants. Despite this, administrators from two grantees felt that scaling might facilitate the development of additional evidence about their intervention's effectiveness, which could foster further scaling.

Next steps. This report, which is based on a cross-site analysis of information primarily from site visits to three grantees, presents insights into how the grantees and their partners approached scaling their interventions and the organizational and implementation aspects of how they scaled. It is one of four documents that Mathematica has provided to CNCS as part of the process study component of the SEBM project. The study team also prepared three site-specific reports, one for each of the three grantees (Anderson et al. 2020; Eddins et al. 2020; Jones et al. 2020). Those reports are based on the information gathered from the October 2018 site visits and information gathered through telephone calls with site personnel conducted about 12 months later. The discussions that occurred about 12 months later focused on progress toward scaling since the site visits, changes to the interventions that occurred during the additional scaling, and challenges that have arisen with scaling.

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The Corporation for National and Community Service (CNCS) has invested significant resources in interventions designed to improve lives and strengthen communities through its AmeriCorps and Social Innovation Fund (SIF) programs, as well as other programs.¹ Both CNCS and the organizations it funds also have invested resources in evaluating the effectiveness of these interventions. CNCS would like to support the scaling of effective interventions it funds and is interested in learning about the factors that facilitate or impede such scaling.

In 2016, CNCS contracted with Mathematica to conduct a project, entitled Scaling Evidence-Based Models (SEBM), to deepen the agency's understanding of the most effective program innovations and its knowledge base on scaling them. Although many of the organizations whose interventions CNCS has funded have plans for scaling them, little systematic analysis has been conducted on their plans for scaling interventions.

The SEBM project's process study examines three CNCS-funded grantees and their partners to learn how they scaled their interventions, what factors facilitated or hindered scaling, and the conditions required for successful scaling (that is, what is needed for interventions to maintain their effectiveness after scaling). This report is based on a cross-site analysis of the information collected from the three grantees visited by Mathematica study team members for the process study. The study team also prepared three site-specific reports, one for each of the three grantees (Anderson et al. 2020; Eddins et al. 2020; Jones et al. 2020). These reports, and the project overall, are intended to support CNCS's efforts to develop a strategic approach for supporting scaling of evidence-based models.

This report contains four main sections. In the first we describe the scaling framework developed for the project and which guides the process study. In the second we provide an overview of the process study, including the research questions it is answering, the method used to select three CNCS-funded grantees for inclusion in the process study, an overview of these grantees and their interventions, and the analysis methods used. In the third section we present insights about how the grantees defined and operationalized scaling. In the fourth section we offer insights about grantees' efforts to scale their successful interventions, including (1) the resources they needed, (2) their considerations to ensure fidelity to the interventions, (3) the organizational factors that facilitated or hindered scaling, and (4) the role that evaluations and data played. In an appendix to the report, we describe in greater detail the methodology used for selecting the grantees for the process study and more information on their interventions, service delivery models, target populations for services, and organizational characteristics.

¹ CNCS (2016) and CNCS (n.d.a) provide a description of CNCS programs. AmeriCorps supports a wide range of local service programs through grants to address critical community needs, such as those pertaining to education, public safety, health, and the environment. From 2010 to 2016, SIF grants were used to fund community-based programs to address challenging social problems communities face in the areas of economic opportunity, healthy futures and youth development.

A. Overview of scaling and components necessary for successful scaling

CNCS-funded organizations have used three approaches to scale their interventions so more people could receive the beneficial impacts of an intervention: expansion, replication, and adaptation (see the box for an explanation of each option).² Successful scaling uses at least one of these approaches and maintains or surpasses the beneficial impacts of the intervention on participants that have been found through rigorous scientific research.

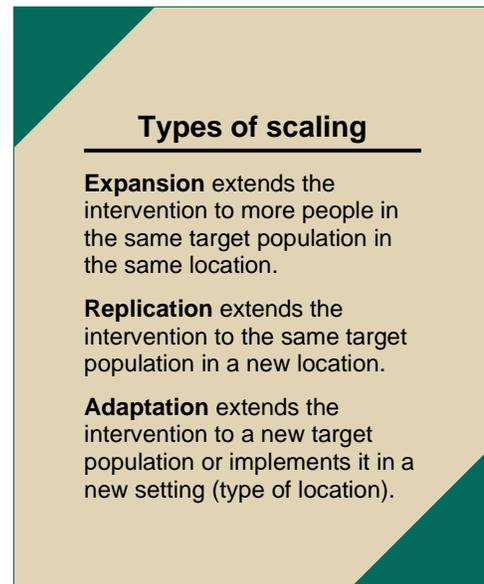
Drawing upon research from implementation science, Mathematica developed a framework that identifies five conditions necessary to successfully scale an intervention (Figure 1; Maxwell and Richman 2019).

The first three conditions indicate whether an intervention might be ready to be successfully scaled:

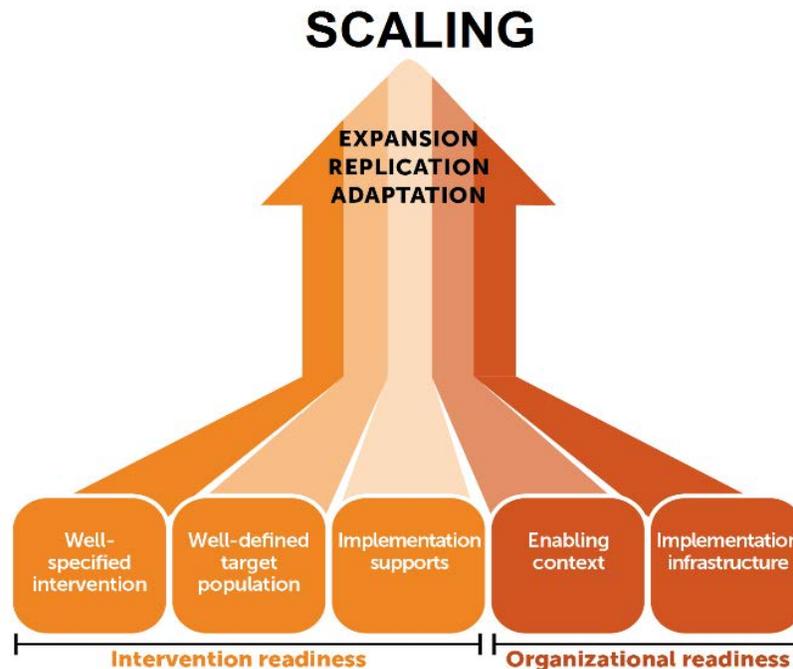
- **A well-specified intervention** consists of a description of the content, the mode of service delivery, the intensity, workforce needs, and setting for each core element.
- **A well-defined target population** means a description of the population for which the intervention was found to be effective.
- **Implementation supports** include a description of the processes and supports in place to ensure the intervention can be implemented with fidelity to its model, such as a team that monitors implementation, continuous quality improvement processes, and pre-service and in-service workforce training requirements.

The final two conditions indicate that an organization might be ready to scale an intervention:

- **Enabling context** consists of a description of the presence of organizational leadership and culture that supports innovation, learning, and improvement for an intervention.
- **Implementation infrastructure** includes a description of the organizational infrastructure, such as a human resources system, workforce, funding, materials, and physical space, which supports implementation.



² Strategies other than scaling that CNCS-funded organizations have used to continue the implementation of their interventions include (1) sustaining services—that is, planning to serve the same population in the same location without making purposeful changes to the intervention; and (2) deepening services—that is, serving the same target population in the same location with enhanced services of the same intervention.

Figure 1. Necessary conditions for successful scaling of interventions

B. Overview of the process study

The process study was designed to collect rich information from three CNCS-funded grantees and their partners about their experiences scaling evidence-based interventions. In this section we present (1) the study's research questions, (2) the methods used to select three grantees for inclusion in the study, (3) overviews of each grantee and their interventions, (4) the data that were collected, and (5) the cross-site analysis conducted for this report.

1. Process study research questions

To help deepen CNCS's understanding of how to support the scaling of effective interventions, the process study was designed to address two overarching research questions:

1. How does the organization define and operationalize scaling?
2. How do organizations scale successful interventions?

In this report's cross-site analysis, we present emerging themes from the information collected from the process study grantees. These themes address the overarching research questions and offer insights into how grantees approached scaling, the actions they took when they scaled, and the challenges and facilitating factors they faced when scaling. Although we include descriptions of the interventions used by the three grantees and their partners, we focus primarily on the approaches the grantees have taken and the experiences they have had when scaling so that our insights are more broadly applicable to a range of interventions and organizations. Additionally, while the themes discussed in this report are derived from the grantees' experiences during

scaling, they may also be more broadly applicable to implementation through methods other than scaling.

2. Selection of the three grantees included in the process study

A multistage process was used to select the interventions and the grantees scaling them for inclusion in the process study. After reviewing documents submitted to CNCS by its 2015 and 2016 AmeriCorps grantees and 2010 and 2011 SIF grantees, Mathematica identified 17 interventions that demonstrated evidence of effectiveness and determined which of these, and their implementing grantees, demonstrated a readiness to scale based on five conditions shown in Figure 1. After Mathematica provided a preliminary list of recommended 8 interventions and the 17 grantees scaling them for CNCS to consider for the process study, CNCS conducted an extensive effort to gather information from these grantees and the CNCS stakeholders who work with them. Based upon the information obtained, CNCS chose three grantees and their interventions to include in the process study. The three grantees were selected to vary on several characteristics, such as size, intervention focus areas, types of scaling, the successes and challenges with their scaling experiences, and their efforts to codify lessons learned. Importantly, they were not selected at random, and they are not representative of all CNCS grantees. Therefore the insights from the experiences of the three process study grantees and their partners cannot be interpreted as applicable to a broader set of CNCS-funded grantees or service providers.

Three process study grantees and their scaled interventions

Parent Possible, implementing the Home Instruction for Parents of Preschool Youngers (HIPPY) program in Colorado

The Child Abuse Prevention Council (CAPC), implementing the Birth and Beyond (B&B) Home Visitation Program in Sacramento County, California

United Ways of Iowa, implementing the Reading Corps program in Iowa

3. Overview of the three process study grantees and their interventions

For the process study, Mathematica visited the following grantees to gain insights on the organizations themselves and the interventions they are scaling. Table 1 provides brief descriptions of the grantees and their interventions, while Appendix A provides more detailed information.

Table 1. The three process study grantees and their interventions

Program Description	Scaling activities
<p>Parent Possible</p> <p>Parent Possible—formerly the Colorado Parent and Child Foundation—which is a state-level office in Colorado, received a CNCS grant in 2015 to implement the Home Instruction for Parents of Preschool Youngers (HIPPY) program, a standardized program and home visiting curriculum licensed from HIPPY USA. HIPPY is implemented in a mix of urban and rural locations in nine Colorado counties. The intervention is intended to increase the early language and literacy skills of young children (ages 3 to 5) to improve their school readiness, school attendance, classroom behavior, and academic performance. It is also designed to boost parents' involvement in their children's learning and their own self-esteem as educators. The intervention consists of (1) home visits with parents of 3- to 5-year old children, which include instructional exercises, discussion, and feedback to parents; (2) activities for parents to conduct using a standardized curriculum and learning materials; and (3) monthly group meetings, which include presentations to parents by guest speakers, enrichment activities, and themed discussions to reinforce the home visits. AmeriCorps members serve as HIPPY home visitors.</p>	<p>The grantee has been scaling the program in two different ways. First, in the two years prior to the site visit, the grantee replicated HIPPY in four new sites in the state. One of these was a reopening of a site with a new partner organization after the site had previously ended operations with a different partner organization. Second, the grantee has been making adaptations by adding activities to home visits as funding permits and in a pilot-like fashion. Examples of topics for add-on activities include health, nutrition, and housing, with the topics chosen during particular visits depending on a parent's interest.</p>
<p>The Child Abuse Prevention Council (CAPC)</p> <p>CAPC received a 2016 CNCS grant to implement, in conjunction with partners, the Birth and Beyond (B&B) program. Based in Sacramento County, California, the CAPC coordinates a countywide collaborative network of partners (called the Collaborative) that provide B&B services that seek to reduce child maltreatment. The intervention consists of: (1) home visits to parents of children between 0 to 5 years old, (2) group parent education classes conducted at the Family Resource Centers administered by Collaborative partners, (3) crisis intervention services, and (4) referrals to and the provision of enhanced services and supports that help to address families' other needs. The curriculum used for the home visits and classes is called the Nurturing Parent Program (NPP). AmeriCorps members serve as B&B home visitors or parent educators.</p>	<p>As of the site visit, the Collaborative was scaling B&B in four ways: (1) replicating the intervention at a new site; (2) expanding services at an existing site to serve more families; (3) adapting services from families with children ages 0–5 to families with children ages 0–17; and (4) adapting services and NPP materials to be more attuned to the cultures of certain demographic groups.</p>
<p>The United Ways of Iowa^a</p> <p>The United Ways of Iowa, a state-level association of Iowa's local United Way organizations, has been implementing Reading Corps since the 2013–2014 school year. Reading Corps is a standardized literacy program that is licensed by Reading and Math, Inc. (formerly ServeMinnesota Action Network) for implementation in states such as Iowa. It involves the provision of one-on-one, in-school literacy tutoring to students who struggle to read, with the goal of boosting their reading skills. Students who participate in the program meet with tutors, who are AmeriCorps members, for 20 minutes each school day until they consistently achieve a target level of reading performance. Tutors use a set of 10 scripted interventions that target critical phonemic awareness, phonics, reading fluency, and comprehension skills.</p>	<p>Starting during the 2015–2016 school year, the grantee has been scaling the literacy-focused activities in the two different ways. It expanded Reading Corps' implementation in some school districts and replicated it in other districts that did not previously have the intervention. In total for Iowa, Reading Corps went from being implemented in fewer than 10 schools to about 65 schools and from involving about 10–15 AmeriCorps members to about 65–70 members. In addition, it incorporated a summer component to supplement the Reading Corps activities, which take place during the school year. However, the new summer activities sponsored by the grant are not considered a formal adaptation of Reading Corps activities because they do not affect any part of the developer's program model.</p>

^aThe grantee name, as a state association of local chapters, is "United Ways of Iowa", whereas specific local chapters are referred to as a "United Way."

4. Data collection and cross-site analysis methods

We based this report on our cross-site analysis of information collected during two-day visits to each of the three process study grantees during October 2018 and follow-up telephone interviews with one grantee in November 2018.³ Although the details of the visits were tailored to the unique features of the interventions, grantees, and their partners, the visits typically consisted of one-on-one or small group interviews with (1) the program manager who oversees the intervention; (2) an executive of the grantee; (3) one or more other grantee administrators; and (4) frontline staff and AmeriCorps members who are responsible for delivering the intervention. Site visitors also met with administrators and frontline personnel from partner organizations. Interviews generally lasted between 30 minutes and two hours. Interview topics related to the five scaling conditions discussed earlier, the ways in which the grantee and partners have been scaling, and implementation and scaling challenges and facilitators. Study team members also reviewed documents that could shed light on grantee and partner fidelity to the intervention model and the supports they had in place to successfully scale it. Examples of such documents include recruitment materials, personnel manuals, human resource and communication protocols, and results of participant satisfaction surveys.

To conduct the cross-site analysis, we first developed a site-specific template for coding the site visit interview notes and the information from related documentation according to the data collection topics of interest—that is, topics related to the research questions and the ways that grantees are approaching aspects of the five conditions necessary for successful scaling interventions. We then assessed the topic-specific information across the three sites to identify insights and takeaway conclusions that have the potential to be broadly applicable as CNCS seeks to support its grantees in their scaling efforts. We use specific examples from the process study grantees to illustrate these ideas from the analysis.

While this report provides insights from our cross-site analysis of the information gathered to date, the study team supplemented this report with three site-specific reports that provide an in-depth account of how each grantee is scaling its intervention (Anderson et al. 2020; Eddins et al. 2020; Jones et al. 2020). Those reports are based on the information gathered from the October 2018 site visits and information gathered through telephone calls with site personnel conducted about 12 months later. The discussions that occurred about 12 months later focused on progress toward scaling since the site visits, changes to the interventions that occurred during scaling, and challenges that have arisen with scaling.

C. Ways that organizations define and operationalize scaling

As described in Section B.3, the three CNCS grantees and their partners had several scaling activities underway when the study team conducted site visits. All three grantees and their partners replicated their interventions to new locations; the United Ways of Iowa's scaling of Reading Corps was especially extensive, with about a fivefold increase in schools from one

³ For convenience, we generally refer to the information as being provided through the site visits and from site visit interviewees, even though we obtained some information through telephone interviews.

school year to the next. In addition, CAPC expanded B&B services to serve more participants at an existing site and was in the process of both adapting services to families with children in a broader age range and making cultural adaptations to services and materials. Parent Possible also adapted its services by covering a greater breadth of new topics during home visits with families in addition to the HIPPY intervention content.

To gain insights about the ways that organizations define and operationalize scaling, the study team asked grantees and their partners about the types of scaling they were pursuing, their rationale for doing so, how they adapted or modified the intervention when they scaled it, and the perceived effects of any changes on the intervention's effectiveness. We reviewed and synthesized the information and drew several conclusions.

*Scaling activities were influenced by a mix of intentional planning, funding availability, and stakeholder interest.*⁴ Generally speaking, the three grantees strove to identify and pursue opportunities through which scaling could address specific community needs, but they also tried to capitalize on available funding and stakeholder interest. The study team heard several examples from grantees (all of which had been chosen because the programs they were striving to scale had evidence of effectiveness) to support this conclusion.

For example, CAPC personnel opened B&B at a new site and expanded services at an existing site because the Collaborative identified these locations as having a high rate of infant mortality and a high call volume to the CPS hotline. The new site had been shut down due to a lack of funding (the Collective had chosen to close this site rather than cut back services at all their locations), and CAPC was able to reopen it when funding subsequently increased. The location's previous closure meant that the Collaborative needed to redevelop trust between community members and the program, even though the program model had not changed.

Parent Possible personnel targeted new sites for HIPPY services partly based on a review of demographic data and a needs assessment and partly on self-identification by the community. They identified potential areas with target populations that had little access to other pre-K services. (Some areas, such as rural ones, might have few or no other similar services.) However, an administrator also reported that sites often self-identify to receive HIPPY services, thus spurring the grantee to fundraise to facilitate expansion to those areas. Some sites already have funding available and reach out to Parent Possible for other support, such as support with the application to HIPPY USA.⁵

Intervention characteristics, such as contractual arrangements and complexity of interventions, might constrain the type of scaling done. The type of scaling that is feasible can depend heavily on whether or not the grantee is the developer of the intervention. Personnel

⁴ Issues related to the funding of scaling activities are discussed more fully in Section D.

⁵ HIPPY USA personnel supported a view that some opportunities to scale arise due to initiative by others besides the HIPPY organization. They reported that efforts to adapt the program to serve children with autism were spurred when a state agency that serves families affected by autism inquired about the potential to serve a child with autism who was in a family with another child already receiving HIPPY services.

implementing Reading Corps and HIPPY reported needing to maintain fidelity to the intervention because of contractual requirements imposed on them by the intervention developers, although they also valued doing so because they were aware that the interventions had evidence of effectiveness.

- The licensing agreement for the United Ways of Iowa required strict adherence to the Reading Corps model, which has very specific requirements for service delivery. Reading Corps materials used for tutoring are structured, and an important component of program implementation is monitoring tutors' adherence to the program's model and students' progress by both internal coaches and master coaches.
- Sites implementing HIPPY must go through an accreditation process every three years, and an accreditation worksheet provided by HIPPY USA specifies what a site needs to do to implement the model as designed.

In these contexts, it is likely more feasible to scale through expansion or replication than through adaptations.

Although CAPC did not face these contractual constraints, the complexity of the B&B intervention posed other constraints on scaling. The array of B&B services (described in Section A.3) might hinder the ability of an organization to replicate the intervention in locations outside of Sacramento County, where it is currently implemented. Administrators and frontline personnel view all four of the B&B intervention components as important to the program's effectiveness for participants. Several components, including the crisis intervention services and referrals to and provision of enhanced services, do not follow a structure or curriculum that could facilitate replication by another organization. Additionally, each Family Resource Center (FRC) in the Collaborative implements the crisis intervention and enhanced services differently according to the needs of its target population, which may be difficult for others to replicate. Administrators identified this complexity as one reason the intervention has been scaled only within Sacramento County.

Scaling can be viewed, at least partly, as “business as usual” for organizations that continuously strive to identify and implement innovative ways to provide services to people.

Administrative personnel across all three grantees reported that they continually looked for new opportunities to: expand their services to areas that are not already receiving those services; enhance services in new ways to assist the people they serve; and make appropriate modifications in response to the requirements of new funding, while keeping in mind the

Spotlight on United Ways of Iowa

Personnel at the United Ways of Iowa desired to scale Reading Corps at Iowa schools with the greatest need (that is, those having the lowest reading scores), but the grantee needed to work within the context of the United Way's broader requirements for operations. As a state-level United Way entity, the grantee cannot raise funds through efforts that might compete with fundraising efforts of local United Ways. Therefore, the matching funds, which are required to place AmeriCorps members in schools as Reading Corps tutors, must be generated locally—in practice, this means either from local United Ways or schools. If a local area was unable to generate the matching funds, operating Reading Corps in the area's schools was not feasible. Hence, in addition to school personnel's desire for the school to have Reading Corps, a driving factor determining which schools participate in Reading Corps is the ability to obtain the match funding.

evidence of effectiveness of the original intervention. Within this context, site visitors perceived that grantees do not view scaling as an activity fundamentally different from the other implementation activities they pursue.

During the three site visits, the study team heard of numerous ideas that grantees and partner

Key Finding

To many grantee personnel, activities we identified as scaling were part of normal program operations to respond to community needs and improve the success of their intervention. As a result, they did not appear to view scaling as different from business as usual.

personnel had to improve what they were doing; some pertained to scaling while others were aimed at improving implementation supports more generally. For example, Reading Corps program personnel described an idea to partner with private schools to overcome funding constraints. Another idea was to offer more professional development training for AmeriCorps members. Topics to be covered in this training could include challenges with fostering literacy (including for children with behavioral issues), developing a deeper understanding of resources in the community, and fostering a greater sense of national service.

While implementation science research has identified different types of scaling and what is necessary for successful scaling (Fixsen et al. 2005), it appeared to site visitors that program administrators and frontline personnel were not bounded by these definitions. Their goals were to broaden and strengthen their services to meet individuals' and families' needs in whatever ways they could, regardless of whether that involved scaling or other strategies. Grantee personnel focused on implementing evidence-based interventions with fidelity because they expected that doing so would help their program participants.

D. Ways that the organizations scale successful interventions

In this section, we present insights about the ways that grantees scaled successful interventions. We discuss the infrastructure resources needed, considerations for ensuring fidelity to the interventions, organizational factors that facilitated or hindered scaling, and the roles played by evaluations and data.

1. Implementation infrastructure needed to successfully scale interventions

As specified by our framework (Figure 1), successful scaling requires an implementation infrastructure. This infrastructure includes four key components: (1) human resource systems and dedicated intervention personnel, (2) materials to implement the intervention, (3) physical space, and (4) funding or financial resources. During the site visits, the study team learned from grantee and partner personnel about how they marshaled these resources.

Although we discuss each of these infrastructure components needed for scaling, the importance of each can depend on details of the intervention itself. For example, a home visiting program might have little need for physical space but great needs for personnel training. With this in

mind, we identified some cross-cutting insights about the organizational infrastructure needed for scaling based on the information collected from the three grantees.

a. **Workforce and human resources**

We identified four insights about workforce needs for scaling, the last of which pertains specifically to the use of AmeriCorps members given the distinctive nature of that program.

When replicating to new sites, administrators need to carefully assess how a site's initial personnel size influences resource efficiency. An administrator pointed out different considerations that could influence the desired initial size of a new site. On the one hand, there is a goal of having a new site with enough personnel to operate efficiently. The fixed costs of running a site, such as leasing building space and providing utilities, might be about the same regardless of the number of personnel or participants at the site; based on experience, an administrator for one grantee cautioned against having any site with so few personnel or participants that service delivery is not cost-efficient. On the other hand, there can be a goal of working out the challenges that arise with scaling before bringing on a larger team. Another administrator cautioned against trying to achieve too large of a scaling effort in a single site because of inefficiencies that would arise given the need to debug the processes during scaling; these processes could include recruiting participants, receiving referrals from partners, or providing services in a new physical space. For example, guidance from HIPPY USA is to start with three or fewer home visitors at a new site.

Spotlight on HIPPY

The HIPPY intervention had personnel rules that facilitated scaling. The HIPPY program model includes a hierarchical supervisory structure, with both a coordinator and a supervisor of that coordinator at each site. Eventually, a site might get so large that an additional layer of personnel is needed. HIPPY program rules specify that an assistant coordinator is needed if a site serves more than 180 children. Adherence to this rule is required to maintain accreditation.

Scaling can have significant effects on supervisory and frontline personnel. Scaling may make supervision easier. United Ways of Iowa administrators explicitly stated that implementation of Reading Corps in more schools (some of which were in new school districts and some of which were in districts in which the program had already been operating) led to a more efficient oversight system because master coaches became located closer to the tutors and internal coaches they supervise. Before scaling the intervention, there were few master coaches and the schools each one oversaw were spread out, making travel to them difficult. With scaling, there were more schools and master coaches, who were located closer to their schools, cutting master coaches' travel time. Expanding to new schools also shortened the learning curve for master coaches. With scaling, master coaches were assigned to work with more tutors and internal coaches than before, which means that they more quickly became experienced with their tasks of observing and monitoring tutors and internal coaches.

Furthermore, as a result of scaling, administrators from United Ways of Iowa needed to develop formal policies and procedures related to workforce and human resources (and other aspects of managing the implementation of Reading Corps outside the scope of the developer's requirements) when a more informal approach had been sufficient previously. The decentralized nature of the intervention—with tutors and internal coaches spread across a state—contributed to the need for formal policies and procedures after expansion to new schools.

When striving to serve a new target population or better serve an existing one, administrators valued personnel whose language and culture aligned with those of the target population and noted challenges. Through the site visits, we learned of efforts to better serve participants with distinctive linguistic or cultural needs. HIPPY administrative personnel reported that a barrier to serving a target population can be a mismatch between the languages spoken by personnel and by participants, especially those in communities with a high concentration of refugees or immigrants. In addition, HIPPY personnel valued having staff and AmeriCorps members who come from the communities they served. Personnel involved in the B&B program also emphasized the importance of having a cultural fit when they were providing services to African Americans. Generally, program personnel described taking into account both a wide breadth

of cultural experiences of target populations and the needs of personnel with similar cultural backgrounds to successfully implement an intervention. For example, Parent Possible has home visitors who speak Spanish so that the HIPPY program can serve Spanish-speaking families, but some of these personnel are not fluent in English. HIPPY USA provides materials for families in both Spanish and English, but the training, forms, and materials for home visitors had not yet been translated into Spanish. The grantee is translating these supporting materials for the home visitors to address this issue, but they had not finished their efforts at the time of the site visit.

Spotlight on Birth and Beyond

During our site visit, CAPC personnel described their satisfaction after adapting B&B to be more culturally responsive to African Americans. Through an analysis of data about retention rates of families in the program, CAPC personnel learned that African American families were not being retained at the same rate as families in other demographic groups. Efforts to make the program more culturally responsive to this population included changing personnel training, hiring different types of personnel, and altering strategies to recruit participants. After the changes, the retention rate of African American families had become comparable to those of other families.

Key Finding

Organizational leadership might take into consideration the characteristics and backgrounds of their personnel when adapting to serve a new target population. Employing those with similar characteristics to those they intend to serve may help to reach that population.

Serving new types of communities can be especially tricky when there are multiple components of an intervention. For example, personnel might communicate effectively when they work one-on-one with participants during home visitations, but additional personnel or accommodations might be needed when groups of participants who speak different languages meet. For example, when an intervention includes group

meetings in addition to home visits, it can be more difficult to schedule the meetings if the bulk of the meeting content is discussed in English but translators need to be in attendance to serve the needs of non-English speakers.

Administrators from all three grantees reported difficulty recruiting and retaining AmeriCorps members—regardless of whether or not the program is scaling. One administrator reported that new AmeriCorps program rules make it challenging to replace AmeriCorps members who end their service agreements shortly after they start their service with the grantee.⁶ According to the administrator, there used to be about four weeks as a time window at the start of an AmeriCorps member's service that could be used for that member to assess the suitability of the position. Under the changed rules, the time window has been shortened to about one week. The administrator thought that this shorter amount of time is not enough for someone to develop a good understanding of what the program really is about.

Furthermore, some potential AmeriCorps members might not understand that AmeriCorps is community service with a living allowance rather than a job. According to administrators, the living allowance is not much compared to what regular jobs can pay, and some potential members do not often see the value of community service. One administrator pointed out that it is especially challenging to recruit AmeriCorps members when the economy is strong, given how the stipend compares to what could be earned through a job. This administrator thought it especially important to find people who understand that the AmeriCorps position is community service rather than a job. Although this is may be a challenge for some programs regardless of whether they are scaling, scaling exacerbated the issue by increasing personnel needs. Furthermore, expansion into some types of areas might make finding and retaining AmeriCorps members interested in community service and in the compensation offered even more challenging than it would otherwise be. Examples of such areas that we heard about during the site visits were rural ones and ones with low unemployment rates.

Given that all three grantees reported challenges recruiting and retaining AmeriCorps members to at least some extent, it might be valuable for CNCS to consider a broad effort, such as a national campaign, to help address these challenges.

b. Materials

Whether or not the intervention was created by a separate program developer influenced grantees' access to and use of materials. The two grantees that replicated program developers' intervention models—Parent Possible (HIPPO) and the United Ways of Iowa (Reading Corps)—also were required to use the developers' materials for service delivery. They reported easily acquiring the materials needed through purchasing copies or printing electronic versions. For example, HIPPO USA provides all of their accredited sites with the materials they need for successful implementation. They provide all of the copyrighted intervention materials, including what home visitors and coordinators need; as well as online information to help coordinators

⁶ The administrator did not mention the AmeriCorps policy that can be used under some circumstances to refill slots that have been vacated by AmeriCorps members. More information on this policy can be found at CNCS (n.d.).

supervise and support home visitors on a weekly basis. In addition, during the training for coordinators, HIPPIY USA provides an extensive set of information about topics such as workforce needs, the model, recruitment and retention, and marketing to guide implementation of the program. HIPPIY USA also provides an accreditation worksheet that specifies everything a site needs to understand and implement the model as designed.

As the developer of its own program, CAPC and its partners in the Collaborative had similar ease of access to materials but also had greater flexibility in adapting them. As of the time of the site visit, FRCs had been working with an external developer of the Nurturing Parent Program (NPP) curriculum that is used for a portion of their services to adapt that curriculum to new languages and to use with the children in the 6–17 age range. But, because B&B is more comprehensive than the NPP curriculum, the Collaborative had more flexibility to incorporate or adapt other materials to suit their purposes.

c. Physical space

Organizations easily identified physical spaces to provide their services, but they also needed space for support activities.

A principal factor that influenced this finding could be that the core components of two of the three interventions (B&B and HIPPIY) were home visitations. Thus, the participants' homes were a natural and appropriate space for the delivery of this service. However, the grantees and their partners providing these services needed space for other intervention-related activities. For example, each HIPPIY site needs space to store the curriculum and family files and enable coordinators and home visitors to meet. One administrator reported that it is nice, but not all together necessary, for home visitors to have a space to review and complete paperwork. Overall, HIPPIY personnel thought that the lack of physical space would not limit operating the program at a site, since the requirements for space are minimal. In addition, sites that are running likely could accommodate extra space requirements if scaling involves a small increase in the number of home visitors.

Spotlight on Birth and Beyond

Physical space needs might change with adaptation of the intervention to a new target population. B&B's adaptation to include families with older children required physical space that was appropriate for such children (such as a playground rather than a playroom). According to one site visit respondent, this need for a different type of physical space was a factor that led to the relocation of one of the program sites.

The United Ways of Iowa relies on schools to provide space for delivery of Reading Corps one-on-one tutoring services because the intervention involves removing students from their school classes. In essence, as with the home visiting services of B&B and HIPPIY, the frontline personnel meet participants where they normally are found. However, one site visit respondent reported that, occasionally, finding a computer and an office space in a school for the tutors to store materials and enter data could be challenging; for example, they might need to use a spot in the school library or a large closet. However, the tutors are able easily to move around the school buildings to meet the students in places such as activity areas.

d. Funding considerations for scaling

Administrators highlighted the precarious nature of their intervention activities due to the short-term nature of grants and the need to continually search for new funding. Grant administrators discussed the need to continually find funding to sustain the programs that they scaled. A HIPPY administrator described needing to patch together different funding streams over time to keep the program going, given that federal funding the grantee has relied on is for three years. If a certain type of funding is no longer available, the organizational leadership must look for other funding sources or reduce the number of participants served. Leadership also discussed another potential fund-seeking strategy: pursuing funding from sources that might value the ancillary benefits of the program, such as benefits to parents, rather than the primary benefits to children that the grantee has historically promoted and received funding for. In addition, an administrator from the United Ways of Iowa described how an inability to obtain state funding or fundraise was one factor that hindered the grantee's ability to scale at a level that had been planned.

Having different funding sources for scaling might lead to inefficiencies and lead to new or different requirements to adapt program model activities. Administrators for two grantees

Key Finding

Organizations often used multiple funding sources to support scaling. This can lead to the duplication of data collection efforts in order to satisfy the funding sources' different requirements.

explained how using a new source of funding to add sites or expand services might mean that new data (or additional forms) need to be collected. This can lead to duplication of data collection efforts. Therefore, scaling based on funding from a new source could have different implications than scaling using funding from a preexisting source, even if the grantee and partners desire to have the same intervention and target population under each scenario. One administrator reported partial, but not full, success in blending performance evaluation requirements to reduce

inefficiencies. Furthermore, administrators from two grantees perceived potential (or actual) funders as wanting to see changes in the intervention model. These administrators discussed the ensuing tension between accepting the funds and complying with funders' goals and maintaining fidelity to an evidence-based program model. In addition, different funders might require different strategies for monitoring implementation or have different requirements for personnel's education or experience.

The timing of grant cycles may compress the planning period to the detriment of sound implementation. Both HIPPY and Reading Corps are implemented with cohorts of participants on an annual schedule: HIPPY's home visits are held over a 30-week period from September to May, and Reading Corps services are provided during the regular school year. However, the timing of funding availability might lead to a condensed planning period. For example, an administrator from one grantee reported knowing from experience that it takes about half a year of planning to get a new site up and running. If

Key Finding

The timing of funding availability might induce a grantee to condense its preferred planning period to use a schedule that is challenging given the intervention features.

funding becomes available with less than this lead-time or before the required start date for a new cohort of participants, there can be a strong temptation to compress the planning schedule. However, doing so runs the risk of implementation problems such as an inadequate workforce or time to train personnel, market the program, and recruit participants.

2. Activities and considerations to ensure fidelity to the intervention when scaling

A key component of the scaling framework is having implementation supports in place to ensure fidelity to the intervention model. In this section we describe insights about several key components of implementation support including: training, communications, data systems, supervision, and continuous quality improvement (CQI).

An increase in personnel because of scaling may lead to additional logistical considerations for training. Standardized training of AmeriCorps members and other grantee frontline personnel delivering the intervention is important to ensure personnel are consistently delivering the intervention as intended. All grantees or their partners that were part of the site visits provided such trainings, as well as supplementary training on special topics such as the data system or professional development. They also provided refresher trainings on a regular basis. For example, United Ways of Iowa had returning AmeriCorps members attend the annual training it provides for new members, and HIPPO held weekly role-play and informational sessions to support their trainings initiatives.

Scaling often led to logistical and programmatic challenges conducting training. Grantees identified three challenges:

- **Lack of a centralized training.** Replication to new sites across the state for two of the interventions (HIPPO and Reading Corps) meant additional challenges for providing centralized training of staff and AmeriCorps members working on the programs. One centralized training was not always possible due to long travel times for some site personnel and funding. Parent Possible (for HIPPO) and the United Ways of Iowa (for Reading Corps), as well as their partners, addressed this by conducting more than one training session for personnel for whom centralized training was not feasible. With support from the intervention developers, the grantees and partners also implemented a train-the-trainer model, through which a select group of personnel went to a centralized training and then conducted local trainings in their area. However, grantee and partner leadership for these programs still saw

Key Finding

Grantees reported three logistical challenges with training grantee staff and AmeriCorps members that arose directly or indirectly due to scaling:

- Replicating to new sites meant training sometimes needed to be decentralized and conducted in more than one location, which could lead to a lack of uniformity of the training.
- Individuals often needed additional information or training specific to their site, which also needed to align with the materials to implement the intervention.
- Sites often had to juggle trainings for new and existing personnel while actively implementing their programs and serving participants.

the value of centralizing training for developing consistency across personnel and for building rapport.

- **Need for additional site-specific information.** Parent Possible and United Ways of Iowa held trainings that were developed by the intervention developer. HIPPY and Reading Corps staff and AmeriCorps members stated that the standardized training was helpful, and that the standardized manuals, guides, and forms distributed by the intervention developer following a training were valuable for working with participants and implementing the intervention effectively. However, some frontline personnel stated that the training lacked information on how to implement the intervention at their particular site and, as a result, felt that this left them a great deal to figure out on their own. To address this concern, Parent Possible personnel added state-specific training to supplement the training led by HIPPY USA, such as training on the specific state data systems that personnel would use. Additionally, some frontline personnel reported that when site-specific information was created by the grantee, the site-specific forms, policies, and procedures sometimes lacked a connection to the training or were not covered during the training.
- **Issues with time management.** Personnel from Parent Possible and the CAPC expressed a difficulty dedicating time to planning and holding ongoing trainings while actively delivering intervention services to participants. Organizational leadership and other personnel also expressed a desire for more trainings, but lack of time was still an issue. For example, some personnel that are part of the Collaborative wanted more clinical trainings on trauma and cultural responsiveness. Personnel implementing Reading Corps wanted more leadership or professional development training. However, leadership often did not have the time or budget to plan these trainings, nor did many personnel have the time to attend. Site visit discussions with grantees and their partners did not identify any solutions to this issue, which could be a challenge also in implementation contexts other than scaling.

Communication strategies that work with a smaller team implementing an intervention might need to be revamped when scaling. As the number of sites implementing the intervention and the size of the personnel increase, communication between all parties involved might become

Key Finding

While informal and in-person communication was possible when the grantee team implementing the intervention was small, scaling led to the need to formalize communication procedures and reliance on either multiple small-group meetings at sites or technological solutions like video chatting.

more difficult. Many personnel interviewed during the three site visits discussed how easily they communicated with individuals in their organizations prior to scaling. This often involved regular in-person meetings and face-to-face communications (for example, an ad hoc meeting in a hallway). This made it easy for administrators to communicate changes, address issues common among personnel, and foster collaboration. Due to a reduction in these in-person communications resulting from increases in the number of staff and AmeriCorps members involved in the intervention, the personnel for one intervention fostered face-to-face or similar communications by using technology, such as video and

group chat technology. They also relied on email communications. Two of the three grantees' interventions (Reading Corps and HIPPY) also required regular communications between personnel in a supervisory role and frontline personnel to facilitate the distilling of information. However, one administrator expressed concern that even when regular communication occurs, having a larger team made it difficult to ensure that information was conveyed accurately to AmeriCorps members and program staff.

Data systems were critical, but site visit respondents noted challenges when integrating them and encouraging personnel to use the system. Regardless of whether or not the grantees and their partners were in the process of scaling, they collected data on the implementation of their programs and used that data to monitor program performance and fidelity to their intervention model. Personnel at each program used a pretest or assessment to determine program eligibility and the appropriate services to provide. For example, the Reading Corps model requires use of a pretest to determine program eligibility, as well as ongoing assessments to check participants' progress and make decisions about which specific literacy interventions to provide. Similarly, the B&B model used an assessment to determine which services participants should receive, and AmeriCorps members for the HIPPY program administered pretests to help determine which topics they would focus on when working with participants. The data system and the use of the data for monitoring led to three types of challenges:

- **Additional personnel burden.** Personnel involved in all three programs collected paper-based forms and entered the information on them into a data system. In addition, two of the three programs currently or recently used more than one system due to funding requirements. For example, B&B used two data systems and, as a result, some personnel thought that the data collection process was burdensome. Leadership at the Collaborative discussed attempting to address this by training personnel on the importance of research, data, and data collection.
- **Difficulties with data system use.** All three grantees and their partners used a centralized database or data systems to capture, store, and analyze the intervention-specific data they collected. However, administrators at two of the three grantees reported that some personnel felt the data systems were not user-friendly. As of the time of the site visit, B&B program personnel were transitioning from one data system to another; they were using an interim system provided by a funder and were having difficulty transferring data accurately from the old system. Parent Possible personnel also reported needing to provide a good deal of technical assistance on how to use the system to partners implementing the program at different sites.
- **Finding data management and evaluation personnel to facilitate more usage of the data.** Administrators at the organizations we visited expressed some desire to do more with the data they collected, in terms of checking the quality of the data, monitoring implementation of the program, and evaluating program outcomes. This was particularly the case in the context of scaling, as the addition of new personnel and locations raised the need for more complex or nuanced monitoring. The United Ways of Iowa had been able to achieve this to some extent, because the developer of the Reading Corps intervention set up reports so the

program personnel could develop and run them on their own. More generally, other grantee administrative personnel wanted a data management system to perform checks on the data to ensure its quality and to generate reports related to program monitoring.

Administrators from two grantees also discussed the need for more formal evaluation of the data contained within the system. Parent Possible personnel wanted to link different sources of administrative data to identify program nonparticipants and compare outcomes of participants and nonparticipants. United Ways of Iowa administrative personnel reported wanting to conduct evaluations to demonstrate program effectiveness; an evaluation is planned due to a grant requirement. Across the three grantees, however, time constraints, budget considerations, and the availability of potential job applicants with the desired skills limited the ability to utilize the data to the fullest capacity.

The interventions scaled by the grantees had built-in communication and supervision procedures that facilitated scaling. The three interventions implemented by grantees in the process study had prespecified monitoring schedules and procedures. For example, HIPPEY personnel noted that the weekly meetings for personnel performing similar roles across sites, which are part of the program model, helped ensure consistent implementation. Additionally, with Reading Corps, the internal coach at each school meets weekly with the tutor working in the school. The Reading Corps model also has monthly meetings between the tutor, internal coach, and master coach to review the progress of all students on the tutor's caseload and to make decisions about changing the specific interventions being used with each student based on student assessments. Reading and Math, Inc., also provides supervision either through site visits or phone calls. In addition, the sites where HIPPEY services were provided needed to maintain a certain level of supervision and monitoring to retain their accreditation from the national office.

Personnel spent the majority of their time implementing the intervention, which left little room for continuous quality improvement (CQI). None of the programs that the study team visited had formal CQI processes. A grantee administrator for one intervention expressed a desire to do more CQI but was concerned that doing so would impose additional burdens on personnel.

Administrators at other organizations reported that their time was focused more on efforts related to human resources (for example, hiring) and performance monitoring. They were reluctant to shift the burden of the human resources and performance monitoring activities to other personnel who were focused on other aspects of the intervention.

Although no grantee had a formal CQI process for creating and testing solutions to difficulties, they did focus on identifying areas for improvement. For example, personnel in the Collaborative implementing B&B noticed that participants had improved outcomes after eight hours of programming, so they set that number of hours as a minimum goal for dosage. Across the grantees, however, personnel reported needing a process for prioritizing the areas they identified as needing program improvement, given the time crunch grantee and partner personnel faced with their many preexisting responsibilities.

Key Finding

None of the three grantees had a formal CQI process.

3. Organizational factors that facilitate or hinder scaling

Our scaling framework specifies that organizational factors, such as supportive leadership, can create an enabling context to facilitate scaling. We learned about these factors, including the relationships between grantee personnel and their leaders, their partners and external stakeholders. In this section we discuss three findings from the study site visits related to the enabling context of the organizations.

Grantees and partners typically had support from internal and community leaders, as well as other stakeholders, but some organizational characteristics, such as personnel turnover or policies related to fundraising, presented barriers. Across the grantees and partners, most

personnel felt well supported by organizational leadership. In addition, many frontline and supervisory personnel described their leaders as trustworthy. This level of trust extended broadly to other organizational leaders (for example, the board of directors) and other stakeholders. Several personnel described their leaders as the glue that kept the intervention together. Most site visit interviewees reported that they had a good working relationship with the leaders. And, in many cases, personnel also reported that organizational leaders fostered a collegial and collaborative environment. This included using humor, supporting the mental health needs of personnel, and team-building events.

Key Finding

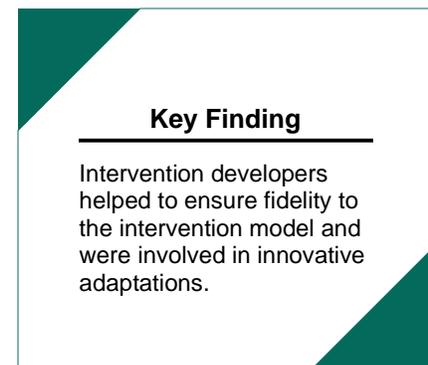
Generally, personnel across the grantees felt supported by their organizational leaders. The leaders were trusted and often worked to extend trust and collaboration between staff and AmeriCorps members across the programs they operated.

Grantee personnel for two of the three interventions reported that state-level agencies, local community organizations, and other stakeholders sparked or provided some support for scaling. For example, United Ways of Iowa personnel noted that an Area Education Agency (AEA) provided most of the master coaches as in-kind support for the Reading Corps program. Grantee personnel also reported that state legislation about reading proficiency was one of the catalysts for starting the Reading Corps program in Iowa, although they also stated that this type of support faded over time. The Collaborative providing B&B services had county-level support through funding to expand the ages served through the program. Personnel for both Reading Corps and B&B reported thinking that the support from the organizations legitimized and increased the intervention's prestige in the community. (Site visitors did not learn about the extent to which HIPPIY program personnel felt supported at the state or local levels.)

Despite this high level of support, program implementation was sometimes impeded because of organizational turnover, policies, or other challenges. Some personnel at one grantee discussed how a transition of organizational leadership led to negative changes, such as a decrease in the responsiveness of leadership to frontline personnel. And, as discussed earlier, challenges reported to site visitors across the three grantees include ones related to a small organizational capacity at the start of scaling efforts and an inability to conduct broad fundraising efforts.

Grantees valued partners' contributions, but differences in partners' goals could influence scaling and program implementation. Administrators at all three grantees described the value of their partnerships and the contributions of the partners towards scaling. However, personnel also noted that differences between the goals of the grantees and their partners, as well as their constraints (for example, financial resources), limited scaling in some instances. In the case of B&B services, for example, the organizations that are part of the Collaborative have been partners for about two decades, each contributing to delivery of program services. The Collaborative formed subcommittees for partner personnel serving in the same roles to facilitate good cross-organization collaboration and to help the Collaborative provide consistent and coordinated services. However, the Collaborative was constrained in its ability to expand their services to serve families with open Child Protective Services (CPS) cases because of rules imposed by the CPS partner.

Intervention developers have a stake in the programs. As noted earlier, both Parent Possible and the United Ways of Iowa scaled interventions developed by other organizations. Each grantee is a state-level organization that worked with the intervention developer (HIPPI USA and Reading and Math, Inc., respectively), which had a vested interest in both ensuring that their model is implemented with fidelity and fostering innovations to the model. In addition to providing program materials and conducting or facilitating training, the developers provided technical assistance to the grantees to aid with troubleshooting problems and facilitating smooth implementation. Reading and Math, Inc., also provided the data system used to monitor the Reading Corps program, and the HIPPI USA accreditation process supports HIPPI implementation with fidelity. According to administrators, all of this support and guidance helped the programs in implementing scaling.



In both cases, personnel noted ways in which the intervention developers also were innovating to broaden the target population or to strengthen intervention services. As of the site visit, HIPPI USA was testing the value of providing HIPPI services to families with 2-year olds. Reading and Math, Inc., tests innovations, such as group tutoring and doubling the daily tutoring time for kindergarteners, in locations where it implements Reading Corps and then considers offering new components to United Ways of Iowa and other implementing organizations as either a required or optional change to the intervention.

4. The role that evaluation and data (process, outcome, or impact data) play in scaling efforts

In general, site visitors noted that the significant time pressures on grantee and partner personnel meant they did not often have the opportunity—at least as of when the visits were conducted—to take full advantage of all of the possible ways in which they could use data. When grantees used data, they often did so to monitor performance and report to funders rather than to assess fidelity to the program model and to conduct evaluations of the effectiveness of the scaled interventions.

(See Section D.2 for more information on how grantees used data.) However, we identified one lesson from site visit interviewees about the interplay between evaluation and data and scaling.

Grantees understood how scaling might facilitate the development of additional evidence about the effectiveness of an intervention, which could foster further scaling. An administrator with the United Ways of Iowa reported that, with a small scale, it can be hard to develop and show analytically rigorous evidence (such as through a random assignment or quasi-experimental design) that the program is effective at improving students' reading scores. The administrator is hopeful that a planned external evaluation (required as part of a current CNCS-funded competitive grant) will provide evidence that the intervention is effective and thus will foster opportunities to further scale the program. Parent Possible personnel also were excited that HIPPY USA was testing the intervention with 2-year olds and hoped to adopt the intervention with this new age range when it was ready and showed evidence of effectiveness. Furthermore, HIPPY USA personnel reported that they want to look at which specific pieces of the HIPPY program work. Although not stated explicitly by HIPPY USA personnel, it is likely that this type of evaluation would be more likely to be feasible with a broader scale of the program, because of the complexity and statistical requirements involved in isolating the effects of the different intervention components.

Spotlight on United Ways of Iowa

United Ways of Iowa personnel described the extensive support provided by their two main partners: an Area Education Agency (AEA) and the participating schools. Grantee personnel appreciated how the AEA-provided master coaches enhanced the grantee's relationships with schools because those master coaches already work with those schools for AEA programs. Several grantee personnel felt that they could not have scaled the intervention to the same degree without the in-kind services of the AEA-provided master coaches. In addition, the grantee personnel acknowledged how schools provide both the physical space for Reading Corps tutoring and the internal coaches, who provide support to tutors and serve as liaisons between the program and other school personnel. School personnel also give permission for the participating students to be excused from their regular classrooms to participate in tutoring.

As much as they depended on these partners, grantee personnel noted the potential for two tensions. Although they did not consider the issue serious or widespread, grantee personnel noted the risk that AEA-provided master coaches might not emphasize adherence to the intervention model as much as the grantee would like because the master coaches do not want to risk harming their existing relationships with school personnel from AEA programs. Furthermore, because school personnel focus on their broader educational mission, of which literacy is only one component, some school personnel (such as classroom teachers) might be reluctant to excuse students to participate in the program.

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Appendix A

Details of the process study grantees, their partners, and their interventions

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In this appendix, we present details on the three grantees included in the process study, as well as their partners and the interventions they were scaling as of the process study site visits conducted in October 2018.

Parent Possible—formerly the Colorado Parent and Child Foundation—which is a state-level office in Colorado, received a CNCS grant in 2015 to implement HIPPY, a standardized program and home visiting curriculum licensed from HIPPY USA. The intervention is intended to increase the early language and literacy skills of young children (ages 3 to 5) to improve their school readiness, school attendance, classroom behavior, and academic performance. It is also designed to boost parents' involvement in their children's learning and their own self-esteem as educators. Eligible children must be ages 3–5 at the start of a school year and can participate for up to three school years.⁷ Parents of 3- or 4-year old children or 5-year-old children not in kindergarten receive weekly home visits, while parents of 5-year-old children enrolled in kindergarten receive biweekly visits. Visits typically are 45 to 60 minutes long over a 30-week period from September to May. Home visits include instructional exercises, discussion, and feedback about the previous and current week's activities, the learning needs of the child, a role-play session to simulate the upcoming activities, and a check-for-understanding period. Materials for each year, provided by HIPPY USA, include activity packets (either 30 or 15, depending on the child's age), 9 storybooks, and a set of 20 manipulative shapes. Sites implementing the HIPPY program can include additional activities, such as wellness activities or legal services, with the home visits; the availability of these activities depends on funding.

Parents are also encouraged to conduct HIPPY activities on their own with their children and to participate in monthly group meetings held at FRCs, which are administered by partner organizations. The parent-child interactions are based on a standardized curriculum and activities and are to last for 15 minutes a day, 5 days per week. Families are also asked to read to their child frequently. The 1- to 2-hour group meetings include presentations by guest speakers, enrichment activities, and themed discussions to reinforce the home visits. The meetings also enable participating parents to learn from and interact with each other. According to HIPPY USA's guidelines, parent monthly meeting should occur at least six times a year, although Parent Possible holds more meetings on an annual basis.

HIPPY is implemented in a mix of urban and rural locations in nine sites in Colorado. Seven of the nine sites use AmeriCorps members as home visitors, while others rely on paid staff as home visitors. Prior to participation in HIPPY, each site conducted a community needs assessment to ensure that there was local support for implementation. While all families in these counties are eligible for services, families in which the parents have limited education and that are experiencing poverty and social isolation are especially targeted. (Evidence about HIPPY's effectiveness at improving child outcomes pertains to families experiencing poverty, limited education, and social isolation.)

⁷ To participate at age 5, the child needs to have completed at least one prior year, although not all sites use the program for 5-year-olds unless they turn that age after starting a year at age 4.

The grantee has been scaling the program in two different ways. First, in the two years prior to the site visit, the grantee started four new sites in the state. However, one of the four involved the reopening of a site by a new organization after the site had previously ended operations with a different organization. Second, the grantee added activities to home visits, which is done as funding permits and on a pilot basis. Examples of topics for add-on activities include health, nutrition, and housing, with the topics chosen during visits depending on a parent's interest.

In addition, the grantee might be able to benefit from HIPPIY USA's efforts to foster scaling of the intervention. Examples of scaling efforts by HIPPIY USA are explorations of how to adapt the program to better meet the needs of families who have children with autism and families whose children are 2 years old.

The Child Abuse Prevention Council (CAPC) received a 2016 CNCS grant to implement, in conjunction with partners, the Birth and Beyond (B&B) Home Visitation program. Based in Sacramento County, California, CAPC coordinates a countywide collaborative network of organizations (called the Collaborative) that provide B&B services designed to reduce child maltreatment. The Collaborative, which has been in existence for 20 years, includes partners that contribute in different ways or in different geographic areas to the complex intervention.

B&B consists of (1) home visits to parents of children between 0 to 5 years old; (2) group parent education classes; (3) crisis intervention services; and (4) referrals to and the provision of enhanced services and supports that help to address families' other needs, such as assistance related to legal, education, food, domestic violence, child safety, and other health concerns. AmeriCorps members conduct home visits with participating families, typically on a weekly basis that can take place over as many as 55 weeks based on a family's need. Family Resource Centers (FRCs), which are administered by different partner organizations in the Collaborative, provide group parent education classes and other services at locations across the county. The parent education classes, also led by AmeriCorps members, are typically held weekly for up to 16 weeks. The curriculum used for both the visits and classes, called Nurturing Parent Program (NPP), was created by an external developer. Although anyone can participate in services provided at the FRCs, B&B participants receive home visits from an FRC determined by the participants' zip code of residence.

Evidence of the intervention's effectiveness in reducing child maltreatment was based on both rigorous research that examined the provision of home visits to families classified as having a high risk based on a risk assessment and parenting workshops for families classified as having a medium risk; however, during the site visit, the Collaborative was providing home visiting services or group parent education classes to families at any risk level except for those with open cases with Child Protective Services (CPS). B&B service providers strive for families to receive at least 8 hours of home visits, which is about 6 weekly visits, based on evidence from a recent evaluation that this is the minimum point at which improvements in outcomes are detected.

As of the October 2018 site visit, the Collaborative was scaling the B&B intervention in four ways⁸: (1) replicating the intervention at a new site; (2) expanding services at an existing site to serve more families; (3) adapting services from families with children ages 0–5 to families with children ages 0–17; and (4) adapting services and NPP materials to be more attuned to the cultures of certain demographic groups, particularly African Americans and refugees.

United Ways of Iowa, a state-level association of Iowa's local United Way organizations, has been implementing a program called Reading Corps since the 2013–2014 school year. The Reading Corps program—a standardized literacy program that involves the provision of one-on-one, in-school literacy tutoring to K-3 students who struggle to read—was initially implemented in Minnesota; using CNCS-provided funds, the United Ways of Iowa had replicated it to Iowa, with the goal of boosting the reading skills of students in the state. Reading Corps is overseen by Reading and Math Inc. (formerly ServeMinnesota Action Network), which implements it directly in some locations (primarily Minnesota) and licenses it for implementation by other organizations in other locations, such as Iowa. To select participants for Reading Corps, school personnel use an assessment to identify students who (1) are slightly below a cutoff point but high enough that they would typically not be eligible for more intensive reading interventions and (2) do not have attendance or behavior problems.

Students in Iowa who participate in the program meet with tutors, who are AmeriCorps members, for 20 minutes each school day until they consistently achieve a target level of reading performance. Tutors use a set of 10 scripted interventions that target critical phonemic awareness, phonics, reading fluency, and comprehension skills. The specific interventions used for each student are selected based on that student's needs and progress. Students are pulled from their regular school classes (but not during teacher-led reading instruction) to participate in the tutoring sessions. As part of the license to use Reading Corps materials and get support for the delivery of the program, the grantee must ensure close adherence to the program model, including the specific interventions used, the dosage of one-on-one tutoring per student, the per-tutor student caseloads, and the use of data about each student's skills to monitor his or her progress. Students participating in Reading Corps are assessed weekly to ensure that they are making progress towards literacy skill targets.

Reading Corps tutors are overseen and supported by two types of personnel—internal and master coaches—with expertise in literacy instruction. Internal coaches are school personnel, usually teachers or reading specialists who provide oversight and support to tutors. The internal coaches also handle much of the communication with parents and observe the tutors on a weekly basis. Master coaches oversee and provide support to the internal coaches and tutors at several schools and meet with both monthly to review student progress and to provide input on how best to tutor students. Most of the master coaches in Iowa are from one of the state's Area Education Agencies (AEAs), although a few are paid for through United Ways of Iowa.

⁸ These scaling efforts were not funded exclusively through the 2016 CNCS grant.

After the initial replication of the Reading Corps program in Iowa, the United Ways of Iowa received a large competitive CNCS grant, which enabled it to dramatically scale literacy-focused activities starting with the 2015–2016 school year. It expanded implementation of Reading Corps in some school districts and replicated it in other districts that did not previously have the intervention. In total in Iowa, Reading Corps went from being implemented in fewer than 10 schools to about 65 schools and from involving about 10–15 AmeriCorps members to about 65–70 members.

In addition, the CNCS grant enabled the United Ways of Iowa to expand a summer component to supplement the Reading Corps activities that take place during the school year. By supplementing the school year-activities with a summer component, AmeriCorps members are able to meet a requirement for the number of service hours they must earn per year. The design and structure of the summer component are very flexible: examples of activities include traditional Reading Corps drills and tutoring, other literacy activities, summer meals offerings in underserved areas, and wraparound services to support summer enrichment activities, such as art classes and field trips. However, the summer component of the grant activities is not formally considered to be Reading Corps because the summer activities do not affect any part of the intervention developer's program model; furthermore, participants in them are not necessarily the same children as those who participate in the Reading Corps during the school year.

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