Next Steps: Implementation and Systems Change in the Real World

Supporting Evidence-based Home Visitation Programs to Prevent Child Abuse and Neglect

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Goals for Today’s Call

- Understand ‘stage-related’ work necessary for successful practice and system change
- Understand the Implementation Drivers that result in competence and sustainability
- Understand the benefits of “transformation zones” for early implementation efforts
- Learn a bit about “improvement cycles” and how to use them at a number of levels
The Implementation Gap

It is one thing to say with the prophet Amos, “Let justice roll down like mighty waters,” and quite another to work out the irrigation system.

William Sloane Coffin
Social activist and clergyman
What Do We Mean by Implementation?

A specified set of activities designed to put into practice an, activity, program, or policy of known dimensions.

Implementation processes are purposeful and defined in sufficient detail such that independent observers can detect the presence and strength of these “specified activities”
Two Sides of the Same Coin
“What” AND “How”

To successfully implement and sustain the use of any intervention, framework, practice, program, or policy you need to understand:

**The WHAT** - The “it”. What is the intervention, framework, practice, program, or policy (e.g. Triple P, NFP, Project Safe Care, Healthy Families America)

AND

**The HOW** - Effective implementation and sustainability frameworks (e.g. strategies to change and maintain behavior of adults)
Positive Intervention Outcomes

• Implementation

Implementation has not been achieved by doing more or better research on interventions or on curricula materials.

The usability of a program or practice has nothing to do with the weight of the evidence regarding that program.

- “Evidence” on effectiveness helps you select what to implement for whom

- “Evidence” on these outcomes does not help you implement the program or practice
Insufficient Methods

Implementation by laws/compliance by itself does not work

Implementation by “following the money” by itself does not work

Implementation without changing supporting roles and functions does not work

Fixsen, Naoom, Blase, Friedman, Wallace, 2005
Insufficient Methods

Diffusion/dissemination of information by itself does not lead to successful implementation.

Training alone, no matter how well done, does not lead to successful implementation.

Fixsen, Naoom, Blase, Friedman, Wallace, 2005
### What Works

<table>
<thead>
<tr>
<th>Implementation - The HOW</th>
<th>Effective</th>
<th>NOT Effective</th>
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<tbody>
<tr>
<td><strong>Effective</strong></td>
<td>Performance Implementation (High Fidelity)</td>
<td>Paper Implementation Procedure Implementation (Low Fidelity)</td>
</tr>
<tr>
<td><strong>NOT Effective</strong></td>
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**Getting Here and Staying Here is the Challenge!**
What Works

Successful implementation on a useful scale requires a **purveyor** or a qualified **technical assistance provider**

- An individual or group of individuals representing a program or practice who actively work to implement that practice or program with fidelity and good effect

- Purveyors accumulate data & experiential knowledge, & become more effective and efficient over time
Implementation Frameworks

- Multi-dimensional, Fully integrated
- Implementation Stages
- Implementation Drivers
- Implementation Teams
- Improvement Cycles
Stages of Implementation

Major Implementation Initiatives occur in stages:

- Exploration
- Installation
- Initial Implementation
- Full Implementation
- Innovation
- Sustainability

Two to Four Years

Fixsen, Naoom, Blase, Friedman, & Wallace, 2005
Exploration: Making the Adoption Decision (or not)

Exploration Goals:

- Examine degree to which the practice, program, or policy meets the needs in the settings identified
- Determine whether adoption and implementation is desirable and feasible
- Create readiness for change
Installation

Installation Stage Goal

To make the structural and instrumental changes necessary to initiate services
**Initial Implementation**

**Initial Implementation Goal**

- **Survive the Awkward Stage!**
  - Learn from Mistakes
  - Continue “buy-in” efforts
  - Manage expectations
Full Implementation

Full Implementation Goals

- Maintaining and improving
  - Front line practice
  - Agency wide Supports
  - Frameworks and Linkages
  - Support for On-going Learning
  - Infrastructure and Data Systems

- Components integrated, fully functioning

- Skillful practices by front line staff, supervisors, administrators

- Changes in policy that are reflected in practice at all levels

- Ready to be evaluated for expected outcomes
Innovation

- First do it right (high fidelity)
- Then do it differently and better
  - Consult with content experts
  - Model the Master
  - Evaluate Impact
  - Institutionalize Innovations
- Ability to retain function while changing form given turnover, changing needs and context
- Ability to adhere to the underlying theory of change
Sustainability

 Goals of Sustainability

- Ensure funding streams for service and infrastructure
- Ensure high fidelity and positive outcomes through infrastructure improvement and maintenance

 Characteristics and Activities

- Starts during Exploration Stage, never stops
- Part of every stage
- Information and trust
- Achieve and tout good outcomes – *stories and data*
- Remain programmatically & fiscally vigilant
- Expand support base during all stages
Check In

Questions?

Coming Next:
  Where you’ve been – Exploration
  Where you’re going – Installation
Exploration: In Depth

What happens during Exploration?

- Determine Need and Identify Options
- Assess “Fit” and Feasibility
- Re-Assess
- Formalized Structures and Promote “Buy in” for the innovation and for implementation supports
Exploration: Making the Adoption Decision (Or Not)

Time of Interaction and Assessment:
- With front line staff, supervisors
- Agency Administrators
- With Parents, Caregivers, and Community
- With Collaborative Groups
- With Purveyors and “Experts”
- With Other Implementing Agencies & Communities
**Assessing Evidence-Based Programs and Practices**

### Need
- **Fit with current initiatives**
  - Agency Priorities
  - Organizational structures
  - Community Values
- **Evidence**
  - Outcomes - Is it worth it?
  - Fidelity data
  - Cost - effectiveness data
  - Number of studies
  - Population similarities
  - Diverse cultural groups
  - Efficacy or Effectiveness

### Fit
- **Capacity to Implement**
  - Staff meet minimum qualifications
  - Able to sustain Imp Drivers
    - Financially
    - Structurally
  - Buy-in process operationalized
  - Practitioners
  - Families
  - Agency and Departments
- **Readiness**
  - Qualified purveyor
  - Expert or TA available
  - Mature sites to observe
  - # of replications
  - How well is it operationalized?
  - Are Imp Drivers operationalized?

### Evidence

### Resources
- **Staffing**
- **Training**
- **Data Systems**
- **Coaching & Supervision**
- **Administrative & system supports needed**
- **Time**

### Resource Availability

### Need in Agency, Setting
- Socially Significant Issues
- Parent & Community Perceptions of Need
- Data indicating Need

### Total Score:

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Adapted from work by Laurel J. Kiser, Michelle Zabel, Albert A. Zachik, and Joan Smith at the University of Maryland
Exploration: Formalize Structure and Promote Buy-in

- Formation of a workgroup (or implementation team)
  - Focal point for the Work and Decision-Making
  - Representative of the “stakeholders”
- Develop collaboration / co-ownership in the community
- Determine “buy-in” process and measures
- Prepare decision makers, agency leads, and the partners for implementation and operationalizing of the policy, evidence-based innovation, or best practices
  - Describe benefits and risks and help interested parties gain confidence in managing risk
  - Assess agencies’ and/or collaborating partners’ comfort with ability to manage risk
Resistance to Change

◈ There is no such thing - only inadequate preparation

◈ It is not “their” problem, it is ours.
Creating Readiness for Change

Individual readiness for change

Transtheoretical Model or Stages of Change

- Precontemplation
- Contemplation
- Preparation
- Action
- Maintenance

Prochaska and DiClemente
Stages of Change

Precontemplation

The person is not yet considering change or is unwilling or unable to change.

“I don’t know anything about this”
or
“I’m not interested!”
Or
“Everything is fine the way it is!”
Stages of Change

Contemplation

The person acknowledges some interest and is open to the possibility of change but is ambivalent and uncertain.

“The benefits are not great enough”

or

“Seems risky to me…”
Stages of Change

**Preparation**

The person wants to and plans to participate in the change but is still trying to figure out what to do.

“I’d be interested in doing this, but I don’t know what to do or how to participate.”
Stages of Change

Action

The person is actively involved in the change process but is still developing his/her skills or becoming accustomed to the change.

“I’m on board and beginning to feel comfortable with the change!”
Stages of Change

Maintenance

The person has achieved a high level of competence with the change process and is maintaining the change.

“Change? This is how we do what we do.”
Stages of Change

Stage of Change for Pre-Action Individuals:

Precontemplation – 40%
Contemplation – 40%
Preparation – 20%

“If only 20% of employees in organizations are prepared to take action. . . .”

Janice M. Prochaska, James O. Prochaska, and Deborah A. Levesque (2001)
Working with the “Not Quite Ready”

“the benefits are not great enough”

“I’m being forced to change”

A person or partner who is in Precontemplation or Contemplation may

- Show an lack of awareness of the problem or the change initiative
- Deny the need for change exists
- Ignore requests, refuse to participate
- Over-estimate the “costs”
- Give “lip service” – “Oh, yes, we are all for that!”
Creating the Conditions for Change

Provide Information
- What is the change, why now, and what might it mean for me?

“Reflect” Concerns
- In a neutral way, acknowledge and validate the person’s concerns (e.g. “It sounds like you need more information...”, “It makes sense to me that you are wondering about whether this is a passing fad...”)

Roll with Resistance
- Resistance is a signal to change strategies
- New perspectives are invited but not imposed (e.g. “Would you like the opportunity to learn more about this?”)
- The person’s perspective is a valuable resource in learning more about what is concerning or challenging about the change initiative

Miller and Rollnick, 1991
“Many implementation efforts fail because someone underestimated the scope or importance of preparation. Indeed, the organizational hills are full of managers who believe that an innovation’s technical superiority and strategic importance will guarantee acceptance.”

Quick Review

📍 Where you’ve been --
📍 EXPLORATION

📍 Where you’re going –
📍 INSTALLATION
Installation

Activities

- Mutual Selection of Provider Organization (Community, Organization, Program experts)
- Negotiate and enact structural and instrumental changes needed to initiate the program or practice
  - (write new job descriptions, recruit, hire/redeploy staff, make special purchases of equipment, arrange for space, organize billing procedures)
- Arrange for space and develop processes
  - (e.g. establish referral flow, develop ancillary contacts)
- Initial Training for:
  - Provider Organization Staff
  - Practitioners
Installation

Initiating infrastructure by planning for:

- Selection Criteria
- Interviewing Protocols
- Training to Deal with Staff Turnover
- Staff and Program Evaluations
- Outcome Measures and Data Systems
- Identifying Administrative Issues
- Identifying Broader Systems Issues
Installation

Challenges

- Resources consumed but no families seen (start up may add 10-20% to first year costs)
- Status quo gets challenged
- Creating New Realities
  - “Oh, I didn’t understand that it would mean...”
Installation

What’s Needed:

- Anticipatory guidance for champions
- High-level “protection” and support
- Rapid Cycle problem-solving
- Reduced expectations and ability to tolerate higher costs during start up
- Focus on evolving organizational supports
- Conversations to help establish new community and organizational climates and cultures
Check In

Questions?

Coming Next:

Implementation Drivers
Implementation Frameworks

Multi-dimensional, Fully integrated

- Implementation Stages
- Implementation Drivers
- Implementation Teams
- Improvement Cycles
Putting “It” Into Action

- Who will do what differently?
- Who will help change occur? AND How will change happen? At all levels….
  - Practice
  - Agency
  - Community
  - System
Implementation Drivers

Performance Assessment (Fidelity)

Coaching

Systems Intervention

Training

Facilitative Administration

Selection

Decision Support Data System

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Implementation Drivers

Performance Assessment (Fidelity)

Coaching

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Decision Support Data System

Competency

Training

Selection
Implementation Drivers

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Competency

Training

Selection

Organization
Child and Family Benefits

Performance Assessment (Fidelity)

COMPETENCY

Training

Selection

Coaching

Implementation Lens

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<table>
<thead>
<tr>
<th>TRAINING COMPONENTS</th>
<th>Knowledge</th>
<th>Skill Demonstration</th>
<th>Use in the Classroom</th>
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<td>5%</td>
<td>0%</td>
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<tr>
<td>... + Demonstration in Training</td>
<td>30%</td>
<td>20%</td>
<td>0%</td>
</tr>
<tr>
<td>... + Practice &amp; Feedback in Training</td>
<td>60%</td>
<td>60%</td>
<td>5%</td>
</tr>
<tr>
<td>... + Coaching in Classroom</td>
<td>95%</td>
<td>95%</td>
<td>95%</td>
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Joyce and Showers, 2002
Child and Family Benefits

Performance Assessment (Fidelity)

Coaching

Training

Selection

Implementation Lens

© Fixsen & Blase, 2008
Child and Family Benefits

Performance Assessment (Fidelity)

Competency
- Coaching
- Training
- Selection

Integrated & Compensatory

Organization
- Systems Intervention
- Facilitative Administration
- Decision Support Data System
Check In

Questions?

Coming Next:

Implementation Teams
Implementation Frameworks

Multi-dimensional, Fully integrated

- Implementation Stages
- Implementation Drivers
- Implementation Teams
- Improvement Cycles
Implementation Science

Letting it happen
- Recipients are accountable

Helping it happen
- Recipients are accountable

Making it happen
- Implementation teams are accountable

Based on Greenhalgh, Robert, MacFarlane, Bate, & Kyriakidou, 2004
Implementation Team(s)

General Definition: Core group of individuals, who are representative of the stakeholders and “systems” and who are charged with guiding the overall implementation from exploration through to full implementation.

Benefits: Provides a focused and accountable structure to increase the likelihood that this effort will not be abandoned or derailed.

Scope of the initiative determines the scope of authority and the need for linked Implementation Teams.
Core Competency for Implementation Teams

A Team that:

• **Knows the innovation** very well (formal and practice knowledge)

• **Knows implementation** very well (formal and practice knowledge)

• **Knows improvement cycles** to make intervention and implementation methods more effective and efficient over time

• **Promotes systems change** at multiple levels to create hospitable cultures, policies, and funding streams
Linked Implementation Teams

State Team

Regional or Collaborative Implementation Team

Agency Team
Implementation Teams

- Integrated and Interlocking at Multiple Levels
  - Agency or “Setting-Based” Teams
  - Community or Collaborative Teams
  - State Team

- Represents the stakeholders and the ‘system’

- Focus is on
  - Installing and Sustaining the Drivers
  - Fidelity & outcomes
  - Alignment (funding and policy)
  - Problem-Solving and Sustainability
Implementation Team

- Prepare Communities
- Prepare Agency & State Systems
- Work with TA & Researchers
- Create Readiness
- Prepare staff & administrators
- Assure Implementation
- Stakeholders
- Assure Family Benefits
- Implementation Teams
Check In

Questions?

Coming Next:

Improvement Cycles
Implementation Frameworks

Multi-dimensional, Fully integrated

- Implementation Stages
- Implementation Drivers
- Implementation Teams
- Improvement Cycles
Why Improvement Cycles?

• It's a hallmark of a Learning Culture

• Learning is Good!

• Perfection is impossible

• Avoid having the “perfect” become the enemy of the good

• In a complex environment your “solution” will change the problem - You need to see what “emerges” from implementation
Improvement Cycles

- Rapid Cycle Improvement Teams
  - Problem-solving
  - Practice Improvement
- Transformation Zones
- PEP - PIP Cycles

What do they have in Common?
PDSA Cycles

Shewhart (1924); Deming (1948); Six-Sigma (1990)

- **Plan** - Develop specific things to do
- **Do** - Do them (make sure)
- **Study** - See what happens
- **Act** - Make adjustments
- **Cycle** - Do over and over again until the goal is reached or the problem is clear (again)
Improvement Cycle Uses

- Rapid Cycle Teams
  - Problem-solving
  - Practice Improvement
- Transformation Zones
- PEP - PIP Cycles
Rapid Cycle Improvement Teams

Problem-solving during early efforts
- Team Lead identified
- Right people on the team
- Time-limited to address the problem
- Team disbands

Practice Improvement
- On-going efforts to improve practices and competencies
- Use data to achieve better outcomes for children and “embed” solutions
Improvement Cycle Uses

- Rapid Cycle Teams
  - Problem-solving
  - Practice Improvement
- Transformation Zones
- PEP - PIP Cycles
Transformation Zone

A representative “sample” (area, geography, demographics) in which you “try out” the new ideas and “suspend usual rules” so that:

- You make a small “mess”
- You can rapidly learn from your mistakes and make course corrections
- You can experience intended and unintended consequences
- You can document “what works”
- You can think about the implications of scaling-up
Improvement Cycle Uses

- Rapid Cycle Teams
  - Problem-solving
  - Practice Improvement
- Transformation Zones
- PEP - PIP Cycles
Policy (Plan) → Practice (Do) → Policy Enabled Practices (PEP)

Policy

Structure

Procedure

Practice
Policy Practice Feedback Loops

Policy (Plan)

Policy Enabled Practices (PEP)

Practice (Do)

Practice Informed Policy (PIP)

“External” System Change Support

Study - Act

Structure

Procedure

Practice
System Alignment

Federal Departments

State Department

Communities, Regions

Provider Agencies

Practitioners

Effective Practices

FORM SUPPORTS FUNCTION
PDSA Application

Discuss the use of the PEP - PIP cycle in your child maltreatment prevention efforts

- Choose a policy and practice level
- Do our policies and procedures support high quality implementation? … support the new way of work?
  - How do we know that?
- Do we have a formal and regular method for hearing from the ‘practice level’ and family level about what’s working for them and what they need?
- What might be barriers and facilitators for developing PEP-PIP cycles to test out the impact of policies, new practices, and new programs

Report out a key ‘learning’ from the discussion
Summary

- Competence needs to be Developed and Sustained
  - Selection, Training, Coaching, Fidelity Measures help change and support new practitioner behavior and skills

- Organizations and Systems need to change
  - Data systems need to be used to make decisions
  - Facilitative administrative practices & systems interventions create hospitable environments
  - Policy enables new practice but practice needs to inform policy

- Purveyors and Implementation Teams help with system and service change

- You are never done – The environment is in motion
  - Improvement Cycles are Critical
  - The ‘right’ leadership strategies are needed for the issues at hand
For More Information

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