Allison Metz, National Implementation Research Network

Active Implementation for Successful Service Delivery

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Today’s Plan

• Setting the Stage
• Active Implementation Frameworks
• Case Study of Implementation
  – Catawba County Child Wellbeing Project

Active Implementation

Effective Interventions  Effective Implementation Methods  Enabling Contexts

Socially Significant Outcomes

“Whose capacity do we need to build to effectively install the formula components?”
Co-Creating Capacity

Co-Creation is deeply involving stakeholders in identifying all the dimensions of a community’s needs and designing and implementing solutions to address the implementation challenges for meeting those needs (Metz, 2014).

Active Implementation Frameworks

<table>
<thead>
<tr>
<th>Effective Interventions</th>
<th>Formula For Success</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Clear description of the program</td>
</tr>
<tr>
<td></td>
<td>• Philosophy, values, principles (guidance)</td>
</tr>
<tr>
<td></td>
<td>• Inclusion – exclusion criteria (beneficiaries)</td>
</tr>
<tr>
<td></td>
<td>• Clear essential functions that define the program (core components)</td>
</tr>
<tr>
<td></td>
<td>• Operational definitions of essential functions (practice profiles; do, say)</td>
</tr>
<tr>
<td></td>
<td>• Practical performance assessment</td>
</tr>
</tbody>
</table>
The "Hexagon" can be used as a planning tool to evaluate evidence-based programs and practices during the exploration stage of implementation.

Download available at: www.scalingup.org/tools-and-resources

EBP: 5 Point Rating Scale:
High = 5; Medium = 3; Low = 1.
Midpoints can be used and scored as a 2 or 4.

Need
Fit
Resource Availability
Evidence
Readiness for Replication
Capacity to Implement

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

Active Implementation Frameworks

Formula for Success

Effective Implementation Methods
Enabling Contexts

Implementation Stages

Exploration
Installation
Initial Implementation
Full Implementation

2-4 Years

- Assess needs
- Assess fit and feasibility
- Operational model
- Staff dedication
- Stakeholder Buy-in
- Shared values

- New services not yet delivered
- Develop implementation
- Make necessary workforce and instrumental changes
- Identify co-created roles
- Service delivery initiated
- Data used to drive decision-making and continuous improvement
- Rapid cycle problem solving
- Feedback loops
- Data shared
- Shared authority and decision-making
- Skillful implementation
- Systems and organizational changes
- Multidisciplinary alignment
- Enhanced communication
- Shared resources
- Shared Data
- Culture and Values

- Initial implementation
- Full implementation

- Initial implementation
- Full implementation

- Initial implementation
- Full implementation

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- Full implementation
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### Active Implementation Frameworks

**Formula for Success**

- **Drivers**
- **Enabling Contexts**
- **Effective Implementation Methods**
- **Stages**
- **Teams**
- **Significant Outcomes**

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### Implementation Drivers

- **Reliable Benefits**
  - Consistent Uses of Innovations
  - Performance Assessment (fidelity)
  - Coaching
  - Systems Intervention
  - Facilitative Administration
  - Decision Support Data System

- **Leadership Drivers**
  - Technical
  - Adaptive

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### Implementation Drivers

- **Selection**

  - **Purposes**
    - Select for the "tough to teach traits"
    - Screen for pre-requisites
    - Set expectations for new hires – use of data, coaching
    - Allow for mutual selection
    - Improve likelihood of retention after "investment"
    - Improve likelihood that training, coaching, and supervision will result in implementation
**Training**

**Purposes**
- Continue "Buy-in" process
- Knowledge acquisition
- Skill Development
- Form a ‘community’
- Get started...get better

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**Coaching**

**Purposes**
- Ensures fidelity
- Ensures implementation
- Develops application judgment in their setting
- Provides feedback to selection and training processes
- Grounded in "Best Practices"
- Must include direct observation and feedback

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**Training and Coaching**

**OUTCOMES**
% of Participants who Demonstrate Knowledge, Demonstrate New Skills in a Training Setting, and Use new Skills in the Classroom

<table>
<thead>
<tr>
<th>TRAINING COMPONENTS</th>
<th>Knowledge</th>
<th>Skill Demonstration</th>
<th>Use in the Classroom</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theory and Discussion</td>
<td>10%</td>
<td>5%</td>
<td>0%</td>
</tr>
<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>
</tr>
</tbody>
</table>

—Joyce and Showers, 2002
**Implementation Drivers**

Performance Assessment

- **Purposes**
  - “Are we doing what we said we would do?”
  - Measure fidelity
  - Motivate implementation
  - Reinforce staff and build on strengths
  - Interpretation of Outcome Data
  - Feedback on functioning of
    - Recruitment and Selection Practices
    - Training Programs (pre and in-service)
    - Supervision and Coaching Systems

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**ORGANIZATIONAL CHANGE**

“All organizations [and systems] are designed, intentionally or unwittingly, to achieve precisely the results they get.”

R. Spencer Darling

Business Expert

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**Active Implementation Frameworks**

Implementation Drivers

Reliable Benefits

**Consistent Uses of Innovations**

- Performance Assessment (fidelity)
- Coaching
- Systems Intervention
- Training
- Facilitative Administration
- Selection
- Integrated & Compensatory
- Decision Support
- Data System

Leadership Drivers
### Implementation Drivers

**Decision Support Data Systems**

<table>
<thead>
<tr>
<th>Purposes</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Monitor and improve child and family outcomes through data-based decisions</td>
</tr>
<tr>
<td>• Provide information to assess effectiveness of intervention and prevention practices</td>
</tr>
<tr>
<td>• Analyze the relationship of fidelity to outcomes</td>
</tr>
<tr>
<td>• Guide further program development</td>
</tr>
<tr>
<td>• Identify and &quot;lift up&quot; systemic barriers and facilitators to the next level to improve support for the new way of work</td>
</tr>
<tr>
<td>• Create an externally &quot;hospitable&quot; environment for the new way of work</td>
</tr>
<tr>
<td>• Engage key system partners and stakeholders</td>
</tr>
<tr>
<td>• Contribute to cumulative learning in multi-site projects</td>
</tr>
</tbody>
</table>

**Facilitative Administration**

<table>
<thead>
<tr>
<th>Purposes</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Creates an internally hospitable environment for the new way of work – at the level of the &quot;agency&quot;</td>
</tr>
<tr>
<td>• Facilitates the installation, implementation, and improvement of the Drivers for each innovation</td>
</tr>
<tr>
<td>• Takes the lead on Systems Interventions</td>
</tr>
<tr>
<td>• Looks for ways to make the direct work of practitioners (e.g. workers, agency staff) and directors more effective and less &quot;burdensome&quot;!!</td>
</tr>
</tbody>
</table>

**Systems Intervention**

<table>
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<th>Purposes</th>
</tr>
</thead>
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<td>• Create an internally hospitable environment for the new way of work</td>
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Co-Creating Capacity

Active Implementation Frameworks

Formula for Success

Implementation Teams provide an accountable structure to move intervention through stages of implementation for any new innovation

- Accountable structure remains to avoid many pitfalls of implementation

Implementation Teams focus on:

- Quality, integration, sustainability of Drivers
- Data-based Decision-making (e.g. fidelity & outcomes)
- Alignment (funding and policy)
- Problem-Solving and Sustainability
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**Active Implementation Frameworks**

**Formula for Success**

- **Effective Interventions**
- **Effective Implementation Methods**
- **Processes in place to resolve problems and make improvements**

**Improvement Cycles**

**HOW**

- **Plan**
  - Decide what to do
- **Do**
  - Do it (be sure)
- **Act**
  - Make Adjustments
- **Study**
  - Look at the results

Shewart (1924); Deming & Juran (1946); Six Sigma (1990)

**“Key Aspects of Improvement”**

“Many initiatives fail for lack of study and reflection on what is actually being done and what the results are from having done it. Observing, describing, and documenting are key aspects to a program improvement cycle, and particularly critical during the pilot phase when key functions of interventions are emerging.”

Metz, et. al., 2010, Improvement Cycle Tool
Formula for Success

- Effective collaboration of cross-sector stakeholders
- Facilitative agency administration (aligned agency policy and procedures)
- Organizational and system structures to support and sustain improvement efforts
- Effective systems interventions (aligned state policy and procedures)
- A commitment to learning and intentional improvement

Enabling Contexts

Formula for Success

Leadership Team

Organization

Practitioners

Implementation Team

Co-Creating Capacity

Co-Creating Capacity

Service Providers

Program Experts and Researchers

Funders and Policy-Makers

Support Organizations

Employees

Diverse Voices
Catawba county child wellbeing project

ASSESSING NEEDS
What's our way in?

Formula for Success

To experience the benefits of the intervention, how are we meeting the needs of our families?

Effective Implementation Methods
Enabling Contexts

Socially Significant Outcomes

Child Wellbeing Project

Purpose

Expand services for children and families engaged in child welfare system beyond the mandated service continuum with the goal of improving foster children’s wellbeing and transition to adulthood.

Ensure children and youth:
- Are employable
- Are educated
- Are connected (civically, spiritually, and to family)
- Have stable housing
- Have medical home
- Make appropriate and wise decisions
**What’s our way in?**

<table>
<thead>
<tr>
<th>Exploration</th>
<th>Installation</th>
<th>Initial Implementation</th>
<th>Full Implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Our work</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Child Wellbeing Project**

**How do we identify the needs of children exiting foster care?**

- Select and Tailor EBPs and Systems
- Review Evidence for Practices in Community Service Array
- Refine the Theory of Change
- Identify and Confirm Barriers to Care
- Develop an Initial Theory of Change
- Identify, Analyze and Document Needs of Population
- Comprehensive Needs Assessment
When we started the conversation, Catawba County had selected models…

- Descriptive analysis of administrative data
- Guided discussions with staff
- Focus on EBPs

What was missing?

- Multiple perspectives on permanency and wellbeing
- Statistical modeling to refine subpopulation needs
- Barriers to care
- Theory of change
- Evidence-base through an implementation lens
- Engagement of opinion leaders
Needs Assessment

Where to begin?

- Engage Exploration Team
  - Practitioner and community-informed decisions
  - Natural champions
  - Cross-discipline teaming
- What do we know?
  - EBPs retrofitted to logic model
- What else do we need to know?
  - Theory of Change

“Get Started, Get Better”

Multiple perspectives on child permanency and wellbeing

- Birth parents, adoptive parents, legal guardians
- Community stakeholders (schools, courts, advocacy)
- Practitioners across divisions (investigations, in-home services, foster care, mental health)
- Managers and administrators
### Needs Assessment

#### Analytic modeling to refine subpopulations needs
- Conduct further data mining on subpopulations
- Employ statistical models that allow for controlling specific variables (e.g., age of entry into care) while isolating the predictive value of other variables (e.g., parental substance abuse)

#### Identify and confirm barriers to care
- Given subpopulation needs, what are practice and systems level barriers to care?
- Conduct case record reviews
- Survey key stakeholders

#### Six areas of need identified:
- Ongoing emotional support and case management for families
- Mental health services for children to address attachment and externalizing behaviors
- Educational services, supports, and advocacy to improve educational achievement
- Material supports to provide financial assistance and child care
- Parent education to enhance parenting skills
- Emotional supports to help adopted children normalize adoption experience
Needs Assessment

Develop theory of change prior to model selection

- Child Wellbeing Project was informed by risk and resiliency theory.
  - Risk factors increase the probability of a child’s reentry into foster care
  - Protective factors promote child and family wellbeing, reducing the probability of reentry into foster care

Theory of Change

Families with children who have exited foster care face potential risk factors for reentry into care not alleviated easily by current child welfare post-care services. To bring about change, resources must be dedicated to provide families with mental health, educational advocacy, parenting education, ongoing emotional support and case management, material supports, and adoption services. When these services are provided, risk factors are decreased and protective factors are increased, which in turn produces increased family and child wellbeing. Increased wellbeing leads to decreases in reentry in care and ensures children and youth are employable, educated, connected, have stable housing and medical homes, and make appropriate and wise decisions.

Review the Evidence-Base

- Potential models that can contribute to underlying theory of change
- Fit and feasibility analysis

Engage opinion experts

- Leading child welfare researchers on post-care
Success Coach
Success Coach is a voluntary, in-home service in which the worker partners with the family to assess needs, set goals (Success Plan), provide service coordination, skill building and reinforcement, and crisis intervention. This service is the foundation and hub for accessing other post-care services.

Educational Services
An Educational Advocate coordinates services between public schools and Social Services to promote educational achievement, stability and continuity. Provides an educational advocate for educational coordination and supports children in accessing other postcare services.

Material Supports
Discretionary funds are available to families enrolled in the Success Coach Services to meet critical and concrete needs that impact child wellbeing. Material supports are also available as incentives to reinforce a family’s success towards achievement of Success Plan goals.

Strengthening Families Parenting
SFP Classes are available for families of children aged 6-11. Groups include separate parent and child classes as well as shared family meals and activities. The goal of this evidence-based service is to teach and reinforce positive communication, discipline, boundary setting and shared learning to strengthen the family.

Support Group for Adopted Children
Support group is designed for families who have adopted children and promotes family development and understanding. The group provides an opportunity for sharing experiences and gaining support for families.

Support/therapy groups addressing identity and loss issues are available for children who are two years post-adoption. These groups serve children in developmentally appropriate groupings.

Table Work
Identifying the Problem
- What rationales come to mind for conducting a robust needs assessment?
- Are you working in jurisdictions that have conducted less than comprehensive needs assessments? How has this affected the work?
- What might be some next right steps in supporting deeper needs assessments in jurisdictions?

BUILDING THE INFRASTRUCTURE
What’s our way forward?
Formula for Success

- Effective Interventions
- Enabling Contexts

Socially Significant Outcomes

What critical program and organizational supports are needed to implement and scale-up effective practices?

Active Implementation Frameworks

Reliable Benefits
Consistent Uses of Innovations

Help to develop, improve, and sustain practitioners’ competence and confidence to implement effective practices

Help ensure sustainability and improvement at the organization and system levels

Help guide leaders to use the right leadership strategies for the situation

Implementation Teams
Linked Team Structure

- Design Team
- Cross-Services Team
- Practice Teams

- Enabling Context
  – Vertical Alignment – leadership, management, and practice
  – Horizontal Alignment – cross-sector representation

Active Implementation Frameworks

- Reliable Benefits
- Consistent Uses of Innovations

Implementation Teams
Linked Team Structure

- Design Team
- Cross-Services Team
- Practice Teams

- Enabling Context
  – Vertical Alignment – leadership, management, and practice
  – Horizontal Alignment – cross-sector representation
Initial Engagement

Developed team-specific Terms of Reference and Linked Communication Protocols

- Established common ground and a common understanding
- Ensured agreement about important dimensions of the project.
- Helped the teams talk more openly about diverse opinions and reach consensus.
- Ensured mutual accountability among teams to each other

Ongoing Engagement

What kept the teams coming back?

- Shared vision
- Preparation and purposeful agenda setting for each meeting
- Homework assignments that produced actionable information
- Mutual accountability within and among teams
- Decision-making and empowerment
- Being a part of something bigger than yourself
Results from Child Wellbeing Project

<table>
<thead>
<tr>
<th>Component</th>
<th>T1</th>
<th>T2</th>
<th>T3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selection</td>
<td>1.44</td>
<td>2.00*</td>
<td>1.89*</td>
</tr>
<tr>
<td>Training</td>
<td>1.33</td>
<td>1.5*</td>
<td>1.10</td>
</tr>
<tr>
<td>Coaching</td>
<td>1.27</td>
<td>1.73*</td>
<td>1.63*</td>
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<tr>
<td>Perf. Assessment</td>
<td>0.78</td>
<td>1.34</td>
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</tr>
<tr>
<td>DDSI</td>
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<td>2.0*</td>
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<tr>
<td>Fac. Administration</td>
<td>1.38</td>
<td>2.00*</td>
<td>2.0*</td>
</tr>
<tr>
<td>Systems Intervention</td>
<td>1.29</td>
<td>1.86*</td>
<td>2.0*</td>
</tr>
<tr>
<td>Average Composite Score</td>
<td></td>
<td>1.68*</td>
<td>1.83*</td>
</tr>
<tr>
<td>Fidelity (% of cases)</td>
<td>18%</td>
<td>83%</td>
<td>83%</td>
</tr>
</tbody>
</table>

Success Coach model involved intense program development of core intervention components and accompanying implementation drivers.

Implementation Teams

Case Example

- How did Implementation Teams improve fidelity?
  - Intentional action planning based on implementation drivers assessment data and program data
  - Improved coaching, administrative support, and use of data to drive decision-making; adapted model
  - Diagnosed adaptive challenges, engaged stakeholders, inspired change

Implementation Teams

Case Example: EBMs

- How did Implementation Teams interface with national EBP developers?
  - Worked with outside consultants to ensure that best practices for coaching and fidelity assessments were installed (SFP)
  - Maintained competency drivers and continue to strengthen organizational supports when the locus of control for the drivers shifted (PCIT)
Results from Child Wellbeing Project

<table>
<thead>
<tr>
<th>Component</th>
<th>SFP T1</th>
<th>SFP T2</th>
<th>PCIT T1</th>
<th>PCIT T2</th>
</tr>
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<tbody>
<tr>
<td>Selection</td>
<td>1.56</td>
<td>1.67</td>
<td>0.33</td>
<td>0.78</td>
</tr>
<tr>
<td>Training</td>
<td>1.00</td>
<td>1.20</td>
<td>2.00</td>
<td>1.80</td>
</tr>
<tr>
<td>Coaching</td>
<td>1.82</td>
<td>1.50</td>
<td>1.64</td>
<td>1.42</td>
</tr>
<tr>
<td>Perf. Assessment</td>
<td>1.89</td>
<td>2.00</td>
<td>1.33</td>
<td>2.00</td>
</tr>
<tr>
<td>DISDS</td>
<td>1.90</td>
<td>2.00</td>
<td>1.91</td>
<td>2.00</td>
</tr>
<tr>
<td>Fac. Administration</td>
<td>1.88</td>
<td>2.00</td>
<td>1.75</td>
<td>2.00</td>
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<tr>
<td>Systems Intervention</td>
<td>1.86</td>
<td>2.00</td>
<td>1.63</td>
<td>2.00</td>
</tr>
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</table>

Average Composite Score
<table>
<thead>
<tr>
<th>Fidelity (% of cases)</th>
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</thead>
<tbody>
<tr>
<td>93-100%</td>
</tr>
<tr>
<td>92-98%</td>
</tr>
<tr>
<td>85%</td>
</tr>
<tr>
<td>82%</td>
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</table>

Co-Creating Capacity

Formula for Success

- Effective Interventions
- Effective Implementation Methods
- Enabling Contexts

= Socially Significant Outcomes
Implementation Infrastructure

Positive Outcomes

Did high fidelity implementation lead to improved outcomes? Early outcomes include:

• Stabilized families
• Prevented re-entry of children into out of home placements
• Improved parenting knowledge and skills
• Reductions in externalizing behaviors for children

Table Work

Drivers Improvement

• What is your key “take away” from this case study?
Consider implementation of a current project…
• What Drivers are most challenging? Why?
• How are these challenges impacting implementation?
• What might be the “next right steps”?

For More Information

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