




Moving Science to Practice: Frameworks for Implementing, Sustaining, and Scaling-up Evidence-Based Programs and Practices



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Getting to Quality Service



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Implementation

- What is it?
- What have we learned about it?
- What do you need to know about implementation to successfully adopt and sustain an evidence-based program/practice?




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What is Implementation?

- ★ The act of accomplishing some aim or executing some order
- ★ To put into practical effect; carry out
- ★ Pursue to a conclusion

– Dictionary.com



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What is Implementation?

It's all about changing the behavior of well intentioned people including practitioners, providers, community stakeholders, policy makers and funders!




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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




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How Have We Learned About Implementation?

- 🚩 **Craft knowledge**
 - EBP purveyors (program developers)
 - EBP implementation site managers
 - Implementation researchers
- 🚩 **Scientific information**
 - Program development and replication data
 - Interviews with program developers
 - Synthesis of the implementation evaluation and research literature
- 🚩 **Personal Experience**
 - Scraped knees and bruised egos
 - Humility



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From this Diverse Body of Knowledge We Know That...

- 🚩 **Implementation issues are common across widely diverse domains**
- 🚩 **Implementation solutions are common across widely diverse domains**

HOPE – Implementation research findings likely have broad practice implications across domains!




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What You Need to Know....

- 🚩 The **usability** of a program has little to do with the quality or weight of the evidence regarding that program
 - Evidence on intervention effectiveness for specific populations helps us **choose** what to implement
 - Evidence on the effectiveness of the intervention **does not help implement** the program or practice successfully



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What You Need to Know About Implementation

Effective **intervention practices** and programs


+

Effective **implementation practices**


=

Good outcomes for children and their families

No other combination of factors reliably produces desired outcomes for children and families.




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What You Need to Know....

		IMPLEMENTATION	
		Effective	NOT Effective
INTERVENTION	Effective	Performance Implementation (High Fidelity)	Paper & Process Implementation (Low or No Fidelity)
	NOT Effective		




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What You Need to Know....

Excellent evidence for what does not work:

- ▶ Dissemination of information *by itself* **does not** lead to successful implementation (research literature, mailings, web postings, promulgation of practice guidelines)
- ▶ *Training alone*, no matter how well done, **does not** lead to successful implementation
- ▶ Implementation by **edict alone** does not work



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What You Need to Know. . . .

- ▶ To implement a practice or program successfully, you will need certain information.
 - ▶ How specifically has the intervention or innovation been described?
 - ▶ What are the core implementation components?
 - ▶ Who needs to be involved?

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Essential Information for Successful Implementation

Are the **Core Intervention Components** known?

- ▶ Clearly described (who/what)
- ▶ Practical measure of fidelity (is being done as intended)
- ▶ Fully operationalized (do/say)
- ▶ Field tested (recursive revision)
- ▶ Contextualized (org./systems fit)
- ▶ Effective (worth the effort)

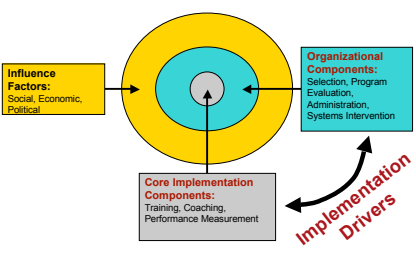
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What Seems to be Required

Insuring the Integration of Implementation Factors



Fixsen, Naoom, Blase, Friedman, & Wallace, 2005

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Who Needs to be Involved?

- Implementation team(s)
 - Senior leadership (resources)
 - Middle management (roles)
 - Practitioners (function)
 - Family and Youth (the 'test')
- Practice/Program "expert"
 - Program Developer/Purveyor of EBP
 - Innovation Specialist
 - Technical Assistance Center




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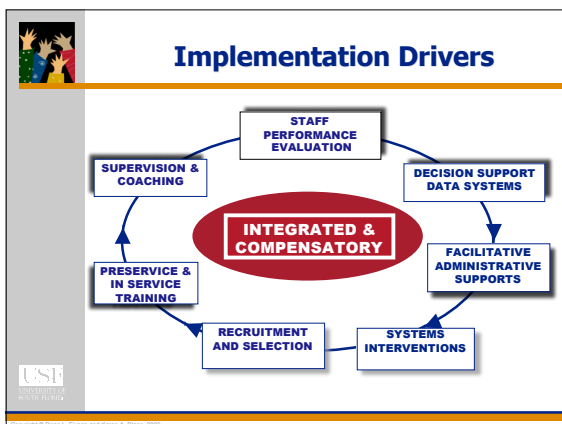



Attributes of an Implementation Team

- The team knows the **innovation** very well (formal and practice knowledge)
- The team knows **how to implement** that innovation with fidelity and good effect
- The team **accumulates data & experiential knowledge** so that they can become more effective and efficient over time (Information Economics, K. Arrow)





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Integrated Implementation Drivers

 **Integrated**

 Consistency in philosophy, goals, knowledge and skills across these processes:

-  Selection
-  Training
-  Supervision and Coaching
-  Staff Evaluation
-  Decision-Support Data Systems
-  Facilitative Administration
-  Systems Intervention




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Integrated and Compensatory Implementation Drivers


 **Integrated**

 Consistency in philosophy, goals, knowledge and skills across these processes (S/T/C/SE/DSDS/FA/SI)

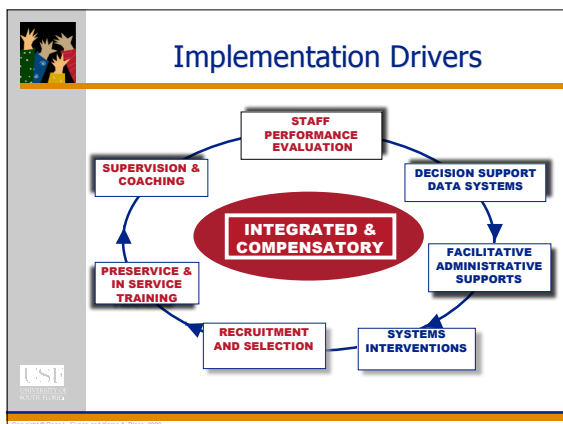
 **Compensatory**

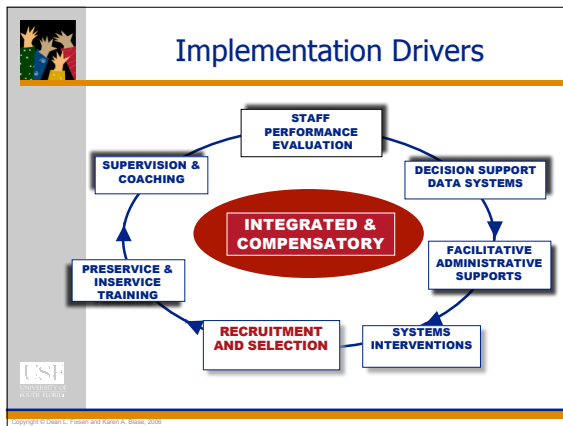
 At the Practitioner Level

 At the Program Level



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Recruitment and Selection


It's about "choice" and "fit" for:

- ★ Current Staff
- ★ New Staff

Recruitment and Selection

Purposes:

- ★ Select for the "unteachables"
- ★ Screen for pre-requisites
- ★ Set expectations
- ★ Allow for mutual selection
- ★ Improve likelihood of retention after "investment"
- ★ Improve likelihood that training, coaching and supervision will result in implementation



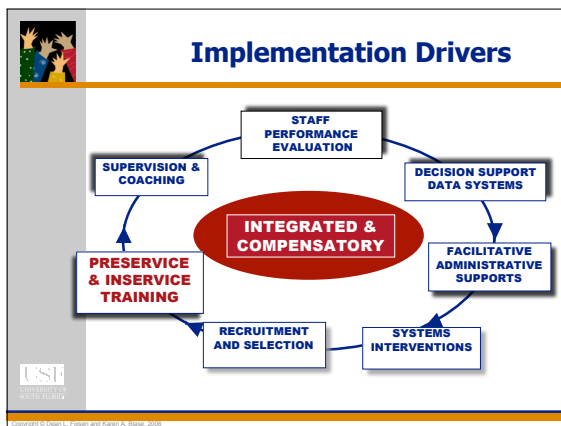
Recruitment and Selection

Implementation Best Practices:

- ▶ Job description clarity about accountability and expectations
- ▶ Pre-Requisites are related to "new practices" and expectations (e.g. basic group management skills).
- ▶ Interactive Interview Process:
 - ▶ Behavioral vignettes and Behavior Rehearsals
 - ▶ Assessment of ability to accept feedback
 - ▶ Assessment of ability to change own behavior
- ▶ Interviewers who understand the skills and abilities needed and can assess applicants accurately.
- ▶ Feed forward to training staff & supervisors
- ▶ Feedback from exit interviews, training data, opinions of supervisors, and staff evaluation data

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Pre-Service and In-Service Training

Purposes:

- ▶ Knowledge acquisition
- ▶ Skill Development
- ▶ "Buy-in"

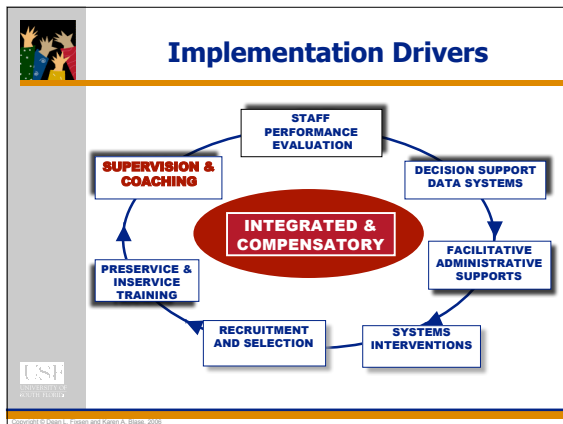
Implementation Best Practices:

- ▶ Timely
- ▶ Theory grounded (adult learning)
- ▶ Skill-based
 - ▶ Behavior Rehearsals vs. Role Plays
 - ▶ Practice to Criteria
- ▶ Feedback to Selection and Feed Forward to Supervision
- ▶ Data-based (pre and post testing)



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Supervision and Coaching

Purposes:

- Ensures implementation
- Develops clinical and practice judgment
- Ensures fidelity
- Provides feedback to selection and training processes
- Grounded in “Best Practices”

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Supervision and Coaching

TRAINING COMPONENTS	OUTCOMES % of Participants who Demonstrate Knowledge, Demonstrate New Skills in a Training Setting, and Use new Skills in the Classroom		
	Knowledge	Skill Demonstration	Use in the Classroom
Theory and Discussion	10%	5%	0%
...+ Demonstration in Training	30%	20%	0%
...+ Practice & Feedback in Training	60%	60%	5%
...+ Coaching in Classroom	95%	95%	95%

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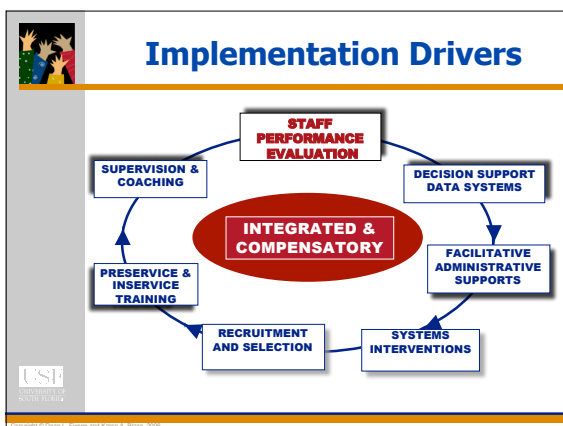
Supervision and Coaching


Implementation Best Practices:

- ✦ Design a Supervision Service Delivery Plan
- ✦ Use multiple sources of information for feedback – Direct observation is critical
- ✦ Provide regular feedback to all “Drivers”
- ✦ Develop accountability structures for Supervision – Supervise the Supervisor!



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Staff Evaluation

Purposes:

- ✦ Measure fidelity
- ✦ Ensure implementation
- ✦ Reinforce staff and build on strengths
- ✦ Develop staff skills and abilities
- ✦ Feedback to agency on functioning of
 - Recruitment and Selection Practices
 - Training Programs (pre and in-service)
 - Supervision and Coaching Systems
 - Interpretation of Outcome Data


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Staff Evaluation

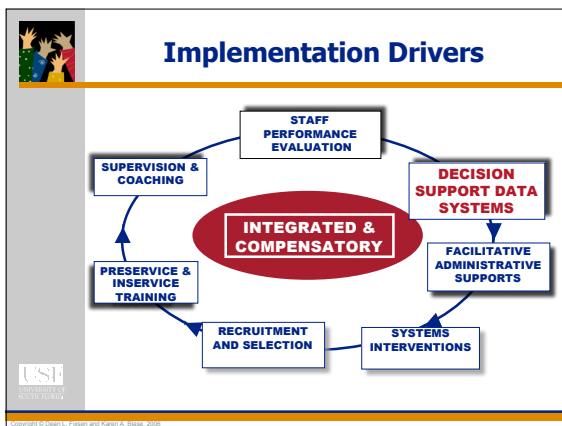
Implementation Best Practices:


- Transparent Processes – Staff orientation
- Use of Multiple Data Sources
- Measures Staff Performance Correlated to Positive Outcomes (Performance Fidelity)
- Tied to recognition therefore motivates staff
- Informs other implementation drivers



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Decision Support Data Systems

Purposes:



- To make a difference for children, youth, and their families
- Provide information to assess effectiveness of interventions
- Analyze the relationship of fidelity to outcomes
- To guide further program development
- Engage in continuous quality improvement
 - Interaction with Core Implementation Components
- Celebrate success
- Be accountable to consumers and funders



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Decision Support Data Systems




Implementation Best Practices:

- ▶ Includes intermediate and longer-term outcome measures
- ▶ Includes process measures (fidelity)
- ▶ Measures are “socially important”
- ▶ Data are:
 - ▶ reliable (standardized protocols, trained data gatherers)
 - ▶ reported frequently (e.g. weekly, quarterly)
 - ▶ Built into practice routines
 - ▶ Widely shared
 - ▶ Used to make decisions



Decision Support Data Systems

- ▶ **Measure Fidelity AND Measure Outcomes BECAUSE you need to know:**
 - ▶ Are we having an implementation problem?
 - ▶ **Low fidelity & Poor outcome = implementation problem**
 - ▶ Or are we having an effectiveness problem?
 - ▶ **High fidelity & Poor outcome = effectiveness problem**



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graph TD; A[STAFF PERFORMANCE EVALUATION] --> B[DECISION SUPPORT DATA SYSTEMS]; B --> C[FACILITATIVE ADMINISTRATIVE SUPPORTS]; C --> D[SYSTEMS INTERVENTIONS]; D --> E[RECRUITMENT AND SELECTION]; E --> F[PRESERVICE & INSERVICE TRAINING]; F --> G[SUPERVISION & COACHING]; G --> A; A --> G; H((INTEGRATED & COMPENSATORY))
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Implementation Drivers

INTEGRATED & COMPENSATORY

STAFF PERFORMANCE EVALUATION

DECISION SUPPORT DATA SYSTEMS

FACILITATIVE ADMINISTRATIVE SUPPORTS

SYSTEMS INTERVENTIONS

RECRUITMENT AND SELECTION

PRESERVICE & INSERVICE TRAINING

SUPERVISION & COACHING

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Facilitative Administrative Supports

**No such thing as a purely administrative decision –
All decisions are treatment/intervention decisions!**

Purposes:

- Facilitates installation and implementation of the Drivers
- Aligns policies and procedures
- Takes the lead on Systems Interventions
- Looks for ways to make work of practitioners and supervisors easier!!



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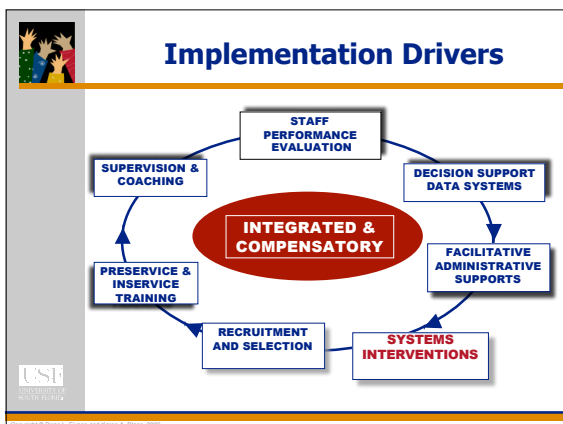
Facilitative Administrative Supports


Implementation Best Practices:

- An internal implementation team is formed and functional
- Uses feedback to make changes in Implementation Drivers
- Revises policies and procedures to support the new way of work
- Solicits Feedback from staff as well as children, youth, and families
- Reduces internal administrative barriers




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Systems Intervention


Systems Can Trump Programs!

- Patrick McCarthy, Annie E. Casey Foundation


Goes on at

- practice
- program
- agency
- and systems levels






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Systems Intervention

Purposes:

- Identify barriers and facilitators for the new way of work
- Create an externally and internally “hospitable” environment for the new way of work
- Contribute to cumulative learning in multi-site projects.





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Systems Intervention at the Organizational Level


Implementation Best Practices

- Leadership matches level needed to intervene
- Engages and nurtures “champions” and “opinion leaders”
- Objectively documents barriers
- Makes constructive recommendations
- Creates time-limited, barrier busting pilots
 - Uses Innovation Zones
- Creates optimism and hope!
- Persists beyond all reason!






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Organizational Change

Successful and sustainable implementation of evidence-based practices and programs always requires organizational change at multiple levels.

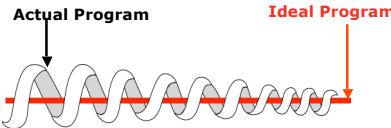
- ▶ Changing the behavior of adult human service professionals
- ▶ Changing organizational structures, cultures, and climates
- ▶ Changing the thinking of system directors and policy makers
- ▶ **Creating new behavior, structures, cultures, climate and thinking!**



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Implementation Drivers Are Tools for Practical Program Development




Purpose:
To Move Programs Closer and Closer to the Ideal


David Thomas - 1985




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Kicking the Tires Exercise




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Stages of Implementation

- Implementation is not an event
- A mission-oriented process involving multiple decisions, actions, and corrections
- Implementing an evidence-based program takes 2 to 4 years



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Stages of Implementation


Major Implementation Initiatives occur in stages:

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

2 – 4 Years




Fixsen, Naoom, Blase, Friedman, & Wallace, 2005




Exploration

“ 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.”

Leonard-Barton & Kraus,
Harvard Business Review, 1985



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Exploration:

Making the Adoption Decision (or not)

Overall Goals:

- Examine degree to which the EBP, innovation, or policy meets the needs of the community
- Determine whether adoption and implementation is desirable and feasible
- Create readiness for change



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Exploration


What happens during **Exploration** to develop readiness for change?

- Assess capacity, resources, “fit” and “buy-in”
- Awareness, garnering support (stakeholders, leaders, champions)
- Describe risk and helping partners manage risk
- Identify organizations comfortable with their ability to manage risk



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Exploration


What else happens during **Exploration**?

- Examining need and match of EBP with need and resources
 - Orientation to the Program or Practice
- Forming an Implementation Team
 - Functions, Scope of Authority, Linkages, Representation
- Community-Purveyor information exchange, mutual assessment and MUTUAL SELECTION
- Assessing Feasibility Based on Multiple Info Sources
- Deciding to move ahead/or not




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Exploration: Examining Need and Fit

- Factors associated with prioritizing which EBP to pursue:
 - Need in the community
 - Resources available
 - Strength of evidence
 - Implementation Requirements
 - Availability of Core Intervention Components




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Interfacing with EBP Purveyors or Innovation Specialists

Community and Purveyor or Innovation Specialist Interactions

- Mutual selection process - sharing information
- Analyzing facilitators and barriers
- Negotiating an agreement and determining performance standards




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Mutual Selection: Interviewing Program Developers/Purveyors

- Clarify costs for start up and initial training
- Clarify continuing relationship and Technical Assistance
- Find out how much help you get with sustainable infrastructure (e.g. trained trainers, coaches)
- Contact sites with whom the purveyor has worked in the past
- Ask for detailed program operation descriptions and manuals
- Ask for data on effectiveness of the program with clients
- Ask about the availability of detailed program replication descriptions and manuals
- Ask for data on replication attempts and success rates
- Ask if replication sites are getting results similar to the original research results




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Mutual Selection:

Providing Information to Purveyors

- ✦ Interviews BY Purveyors, innovation, or policy specialists
- ✦ Provide information about the nature of the needs, problems to be solved, immediate issues faced
- ✦ Provide information about the long-term and short-term goals for the organization/community



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Analyze, Re-analyze, Commit

To make a final decision, re-analyze facilitators and barriers related to:

- ✦ Referrals, Financing
- ✦ Regulatory Issues (licensure, hours of work)
- ✦ Political Considerations (inside, outside)
- ✦ Human resources – Workforce, Salaries
- ✦ Clinical capacity - Leadership
- ✦ Structural – Organizational change required at all levels
- ✦ Leadership and Champions, Multi-Level “Buy-in”



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Installation

- ✦ **Installation Stage Goal**
 - To make the structural and instrumental changes necessary to initiate services
- ✦ **Installation Stage Activities**
 - Mutual Selection of Provider Organization (Community, Purveyor, Organization)
 - 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)
 - Creating space for the new program (e.g. establish referral flow, develop ancillary contacts)
 - Initial Training for:
 - Provider Organization Staff
 - Practitioners




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Installation

- 🚩 **Challenges**
 - 🌟 Resources consumed but no consumers 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...."



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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



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Initial Implementation

- 🚩 **Initial Implementation Goal**
 - 🌟 **Survive the Awkward Stage!**
 - 🌟 Learn from Mistakes
 - 🌟 Continue "buy-in" efforts
 - 🌟 Manage expectations
- 🚩 **Initial Implementation Activities**
 - 🌟 Provide new services
 - 🌟 Manage staff turnover
 - 🌟 Manage change process
 - 🌟 Change practice
 - 🌟 Change organizational and community structures & culture
 - 🌟 Put infrastructure components in place
 - 🌟 Overcome fear & inertia




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Full Implementation

- ★ **Full Implementation Goals**
 - ★ Maintaining and improving
 - ★ Service
 - ★ Linkages
 - ★ Support
 - ★ Infrastructure
 - ★ Components integrated, fully functioning
 - ★ Skillful Service
 - ★ Ready to be evaluated re: consumer outcomes




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Innovation

- ★ **Innovation**
 - ★ First do it right (high fidelity)
 - ★ Then do it differently and better
 - ★ Consult with Purveyor
 - ★ Model the Master
 - ★ Evaluate Impact
 - Discriminate drift from innovation
 - ★ Institutionalize Innovations



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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, never stops
 - ★ Part of every stage
 - ★ Information and trust,
 - ★ Achieve and tout good outcomes
 - ★ Remain financially vigilant
 - ★ Expand support base during all stages
 - ★ Ability to retain *function* while changing *form* given turnover, changing needs and context




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Sustaining Change


Successful and sustainable implementation of evidence-based practices and programs always requires organizational change.

- ★ Changing the behavior of adult human service professionals
- ★ Changing organizational structures, cultures, and climates
- ★ Changing the thinking of system directors and policy makers



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Simultaneous, Multi-Level Changes

Simultaneous, Multi-Level Interventions


Implementation Teams
Purveyors/Innovation
Specialist

- ↔ Practitioner
- ↔ Organization
 - ↔ Management (leadership, policy)
 - ↔ Administration (HR, structure)
 - ↔ Supervision (nature, content)
- ↔ Service Systems
- ↔ State, County and Local Context
- ↔ Federal Context



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Scale-Up and Replication


Intermediary Purveyor Organization (IPO):
A state-based or community-based infrastructure to facilitate the adoption, implementation and sustainability of evidence-based programs by :

- ★ Broadly educating
- ★ Assessing need, stimulating interest
- ★ Connecting purveyors with organizations
- ★ Helping adopters manage risk
- ★ Ensuring implementation and fidelity
- ★ Accumulating knowledge
- ★ Building capacity
- ★ Assisting with alignment




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Examples of Intermediary Purveyor Models

- Invest in Kids (Colorado)
- Center for Effective Practice (Colorado and Western Region)
- Center for Innovative Practices (Ohio)
 - And other "centers of excellence" in Ohio
- States of Hawaii, Maryland, Connecticut, Washington (and others)
- California Institute for Mental Health




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Common Denominators of Intermediary Purveyor Organizations (IPOs)

- Commitment to promoting the best that science has to offer
- Strong infrastructure for and knowledge related to effective implementation strategies
- "Local" knowledge necessary for promoting 'Facilitative Administration' and strategic 'Systems Intervention'
- Step by step processes and planning for both communities and "purveyors" (Bridging Function)
- Relationship with Developers
- Developed within a System of Care framework
- Leadership and direction
- Resources




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Summary

- Sustainability**
 - From the beginning
 - Programmatic Sustainability
 - At each "Stage" of Implementation
 - Implementation Drivers
 - Fidelity
 - Financial Sustainability
 - Alignment of Multi-Level Influences
- Scale-Up and Replication**
 - Broader attention to Implementation Drivers
 - Intermediary Purveyor Organizations as Bridge Builder Among Developers, Communities, and the State



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For More Information

Fixsen, D. L., Naoom, S. F., Blase, K. A., Friedman, R. M. & Wallace, F. (2005). *Implementation Research: A Synthesis of the Literature*. Tampa, FL: University of South Florida, Louis de la Parte Florida Mental Health Institute, The National Implementation Research Network (FMHI Publication #231).

Download all or part of the monograph at:

<http://nirn.fmhi.usf.edu/resources/publications/Monograph/index.cfm>



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