



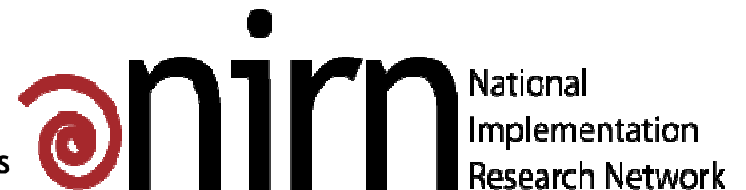
Making It Happen: Implementing Inclusive Systems and Practices

10th National
Early
Childhood
Inclusion Institute
May 17, 2010
FPG Child Development
Institute

Karen Blase, PhD, Melissa Van Dyke, LCSW,
Michelle Duda, PhD & Dean Fixsen, PhD
Frank Porter Graham Child Development Institute, UNC



State Implementation
& Scaling-up
of Evidence-based Practices







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Making It Happen!

Goals:

-  Increased understanding of:
 -  Implementation Science
 -  Implementation and systems change “frameworks”
-  Increased ability to integrate “best practices” related to implementation and systems change into your inclusion initiatives

Between the saying and the doing is the sea.
~ Italian Proverb

Implementation Frameworks

- **Brief overview of the science of implementation**
- **Practice, program and systems change through...**
 - **Multi-dimensional, fully integrated use of**
 - **Implementation Teams**
 - **Implementation Stages**
 - **Implementation Drivers**
 - **Improvement Cycles**

But FIRST...

What Do We Mean by Implementation?

- ✋ A *specified set of activities* designed to put into practice a policy, activity, or program 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”

There are Challenges

Science to Service Gap

- What is known is generally not what is adopted

Implementation Gap




- There are not clear pathways to implementation
- What is adopted often is not used with fidelity and good effect
- What is implemented disappears over time and with staff turnover

Learning About Effective Implementation

Craft knowledge

-  National meetings of:
 -  EBP Program Developers
 -  EBP Implementation Sites
 -  Implementation Researchers
-  Interviews with 64 Program Developers
-  Work with Program Developers, States, Counties, Agencies across domains at policy, evaluation, research, and practice levels

Formal and scientific information

-  Program Efforts and Replication Data
-  Review of evaluation and research literature related to implementation
-  Publication of *Implementation Research: A Synthesis of the Literature (2005)*



WHAT HAVE WE LEARNED?

There are Shared Challenges!!

Implementation is implementation in:

- Agriculture and Forestry
- Manufacturing and Business
- Substance abuse
- Child welfare,
- Education,
- Engineering,
- Health and Medicine
- Juvenile Justice,
- Mental health,
- Nursing, ...and more

 They have similar implementation problems

 They have similar implementation solutions

 We can learn more ...more quickly

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

- 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
- Policies and funding alone do not lead to successful implementation

What works?...Fidelity Matters

- **Higher Fidelity is correlated with better outcomes across a wide range of programs and practices**
 - **Children's Services – FFT, MST, Wraparound, TFM**
 - **Education – HiPlaces, SWPBS, STEP**
 - **School-Based MH Prevention Programs – PATHS**
 - **Adult Mental Health – ACT, IPS, IDDT**
 - **Medicine – DOTS, Texas Algorithm, OMAP**

What Works

IMPLEMENTATION – The HOW




		Effective	NOT Effective
INTERVENTION The WHAT	Effective	<p>High Fidelity = Good Outcomes</p>	<p>Low Fidelity = Poor Outcomes</p>
	NOT Effective		



Getting Here and Staying Here is the Challenge!

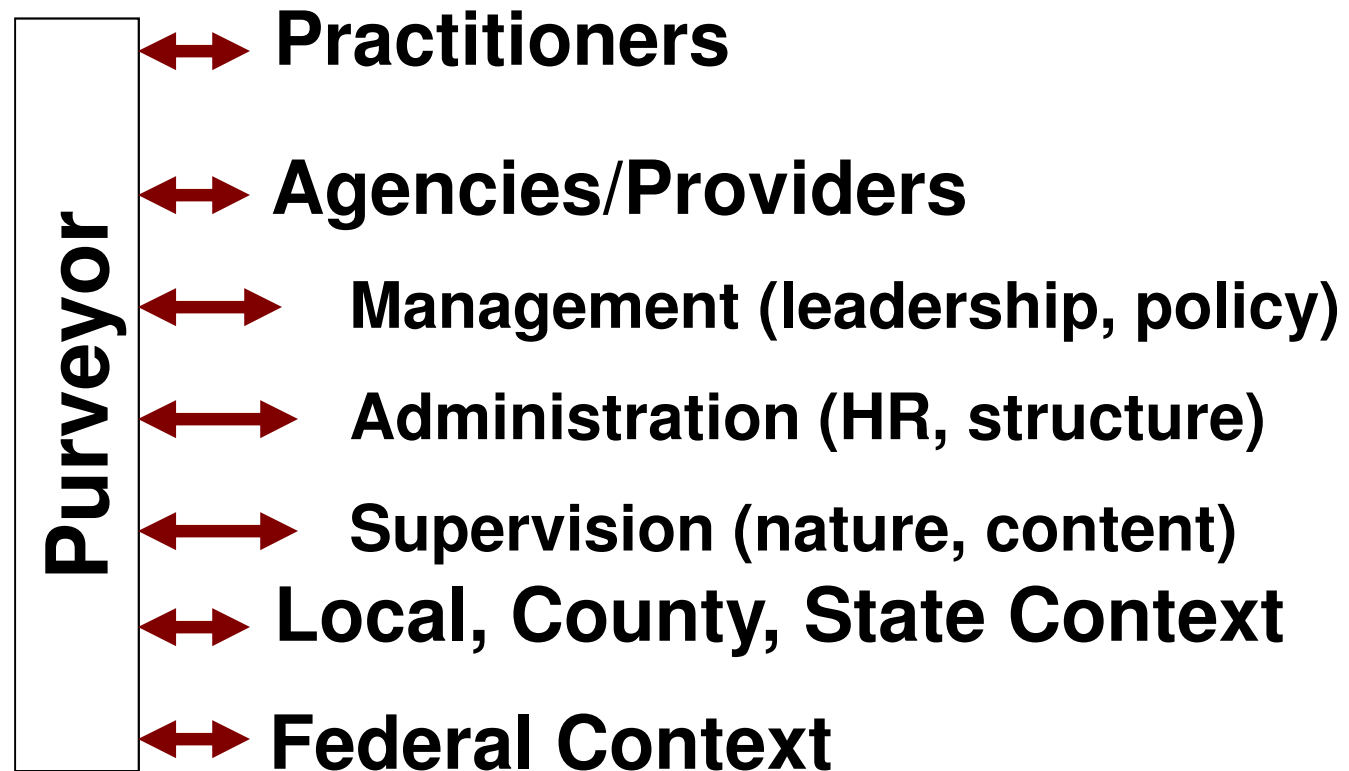
What Works

Successful implementation on a useful scale requires a **purveyor**

-  An individual or group of individuals very knowledgeable about a program or practice who actively work to help others implement that practice or program with fidelity and good effect
-  Affiliated with researchers, researchers who become purveyors, T & TA Centers, private consultants sanctioned by developers.
-  Purveyors accumulate data & experiential knowledge, & become more effective and efficient over time

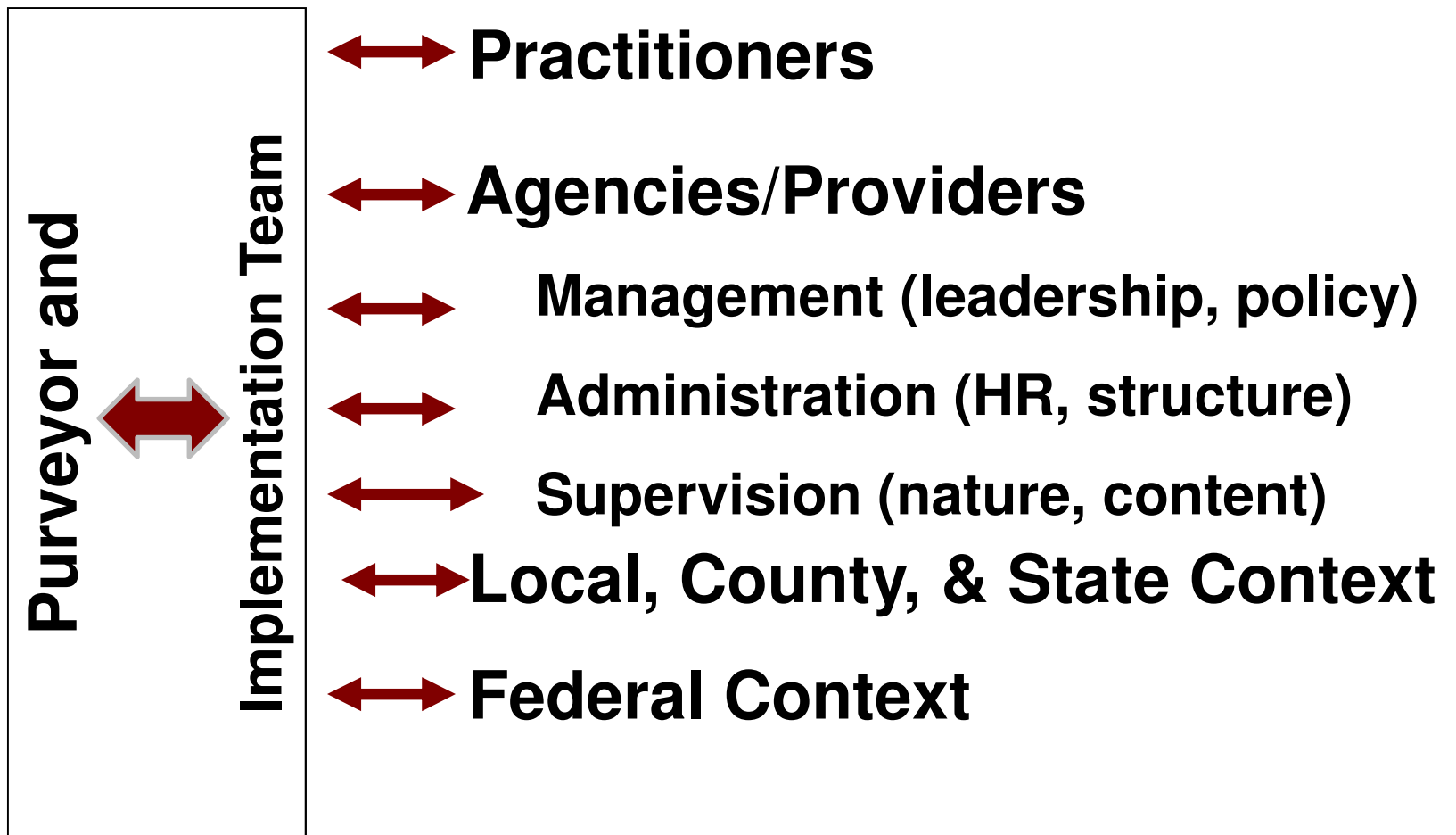
Active Purveyor Role

Simultaneous, Multi-Level Interventions







Purveyor AND Intermediary Structures and Strategies

Simultaneous, Multi-Level Interventions



Implementation Frameworks

Multi-dimensional, Fully integrated

-  **Implementation Teams**
-  Implementation Stages
-  Implementation Drivers
-  Improvement Cycles

Implementation Science

 **Letting it happen**

 **Recipients are accountable**

 **Helping it happen**

 **Recipients are accountable**

 **Making it happen**

 **Implementation teams are accountable**

Initiating and Managing Change

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 collectively:

- **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







Implementation Teams

Integrated and Interlocking at Multiple Levels

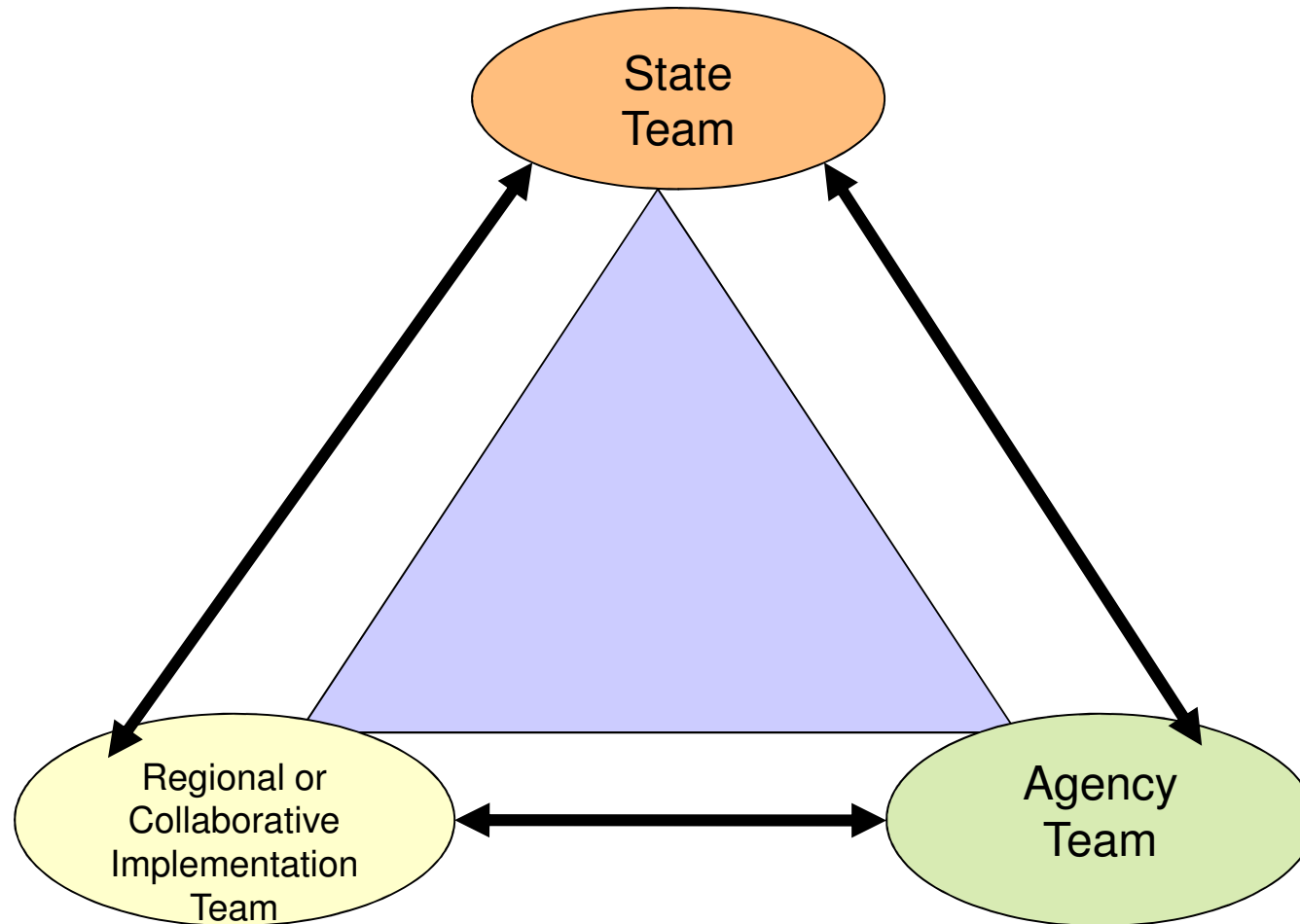
-  Agency or “setting-based” teams
-  Community or collaborative teams
-  Tribal or state team

Represents the stakeholders and the ‘system’

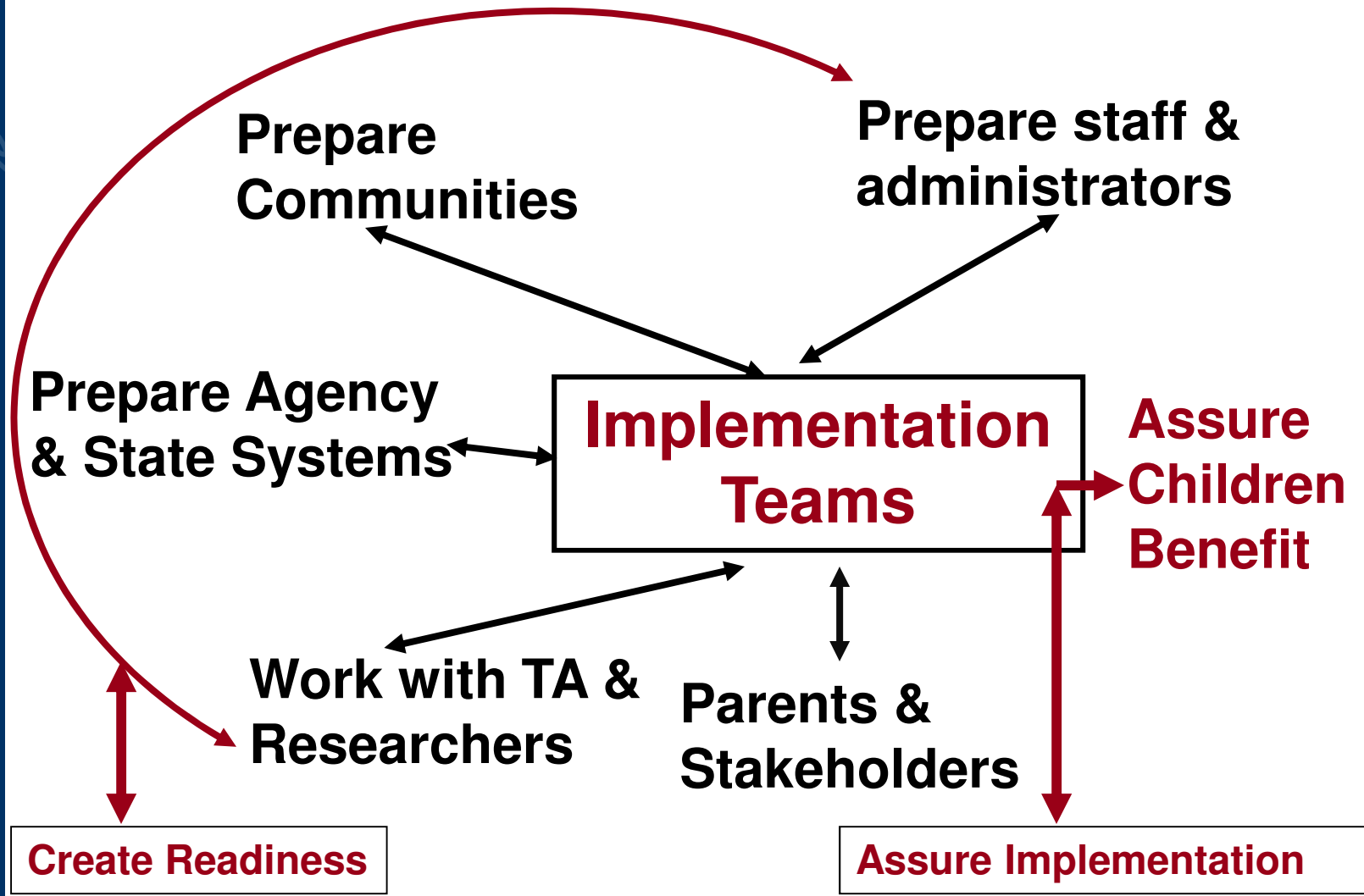
Focus is on

-  Ongoing “buy-in” and readiness
-  Installing and sustaining the Implementation Drivers
-  Fidelity & Outcomes
-  Alignment (funding and policy)
-  Building the new system – linkages
-  Problem-solving and sustainability







Linked Implementation Teams



Implementation Team



Coherent Systems Change

-  Each implementation team needs
 -  **Clear purpose, mandate, and ways of work (Terms of Reference)**
 -  **Linking communication protocols**
 -  **From whom do we get information**
 -  **To whom do we provide information**
 -  **Focus on overall systems change**







Implementation Frameworks

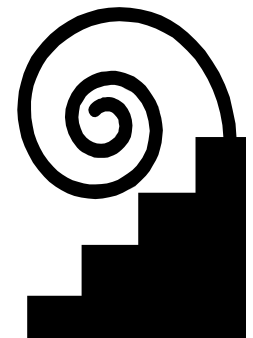
Multi-dimensional, Fully integrated

- 🚀 Implementation Teams
- 🚀 **Implementation Stages**
- 🚀 Implementation Drivers
- 🚀 Improvement Cycles

Stages of Implementation





Major Implementation Initiatives occur in stages:

-  Exploration
 -  Installation
 -  Initial Implementation
 -  Full Implementation
 -  *Innovation*
 -  *Sustainability*
- } Two to Four Years



Exploration: Making Decisions About Inclusion

Exploration Goals:

-  Create readiness for change
 -  **Changing hearts and minds**
-  Examine degree to which the EBPs and other effective strategies and practices for inclusion meet the needs of children in identified settings.
-  Determine whether adoption and implementation is desirable and feasible

“Pay now or pay later.”

Installation

Installation Stage Goal

 **To make the structural and instrumental changes necessary to initiate inclusion practices, policies, and frameworks.**

 **Creating the Conditions Necessary to:**

 **Create Competence and Confidence**

 **Change Organizations**

 **Change Systems**

 **Provide Unwavering Leadership**

“If you build it, they will come”. . .

but you actually have to built it!

Initial Implementation

Initial Implementation Goal











Survive the Awkward Stage!

-  **Learn from Mistakes**
-  **Continue “buy-in” efforts**
-  **Manage expectations at multiple levels**

“Anything worth doing...is worth doing poorly.”

Full Implementation

Full Implementation Goals

-  Maintaining and improving
 -  Front line practice
 -  Agency wide Supports
 -  Vigilance around Policy, Funding, Linkages
 -  Support for On-going Learning
 -  Infrastructure and Data Systems Improvement
-  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

Innovation - Not 'required'

 First do it right (high fidelity)

 Then do it differently **and better**


 Consult with inclusion/content experts

 Model the Master

 Evaluate Impact




 Institutionalize Innovations

 Ability to retain *function* while changing *form*







 Ability to adhere to the underlying philosophy related to inclusion and theory base related to the practices

Sustainability

Goals of Sustainability – Not really a stage

-  Ensure funding streams for service and infrastructure
-  Ensure high fidelity and positive outcomes through infrastructure improvement and maintenance
-  Sustain commitment to inclusion

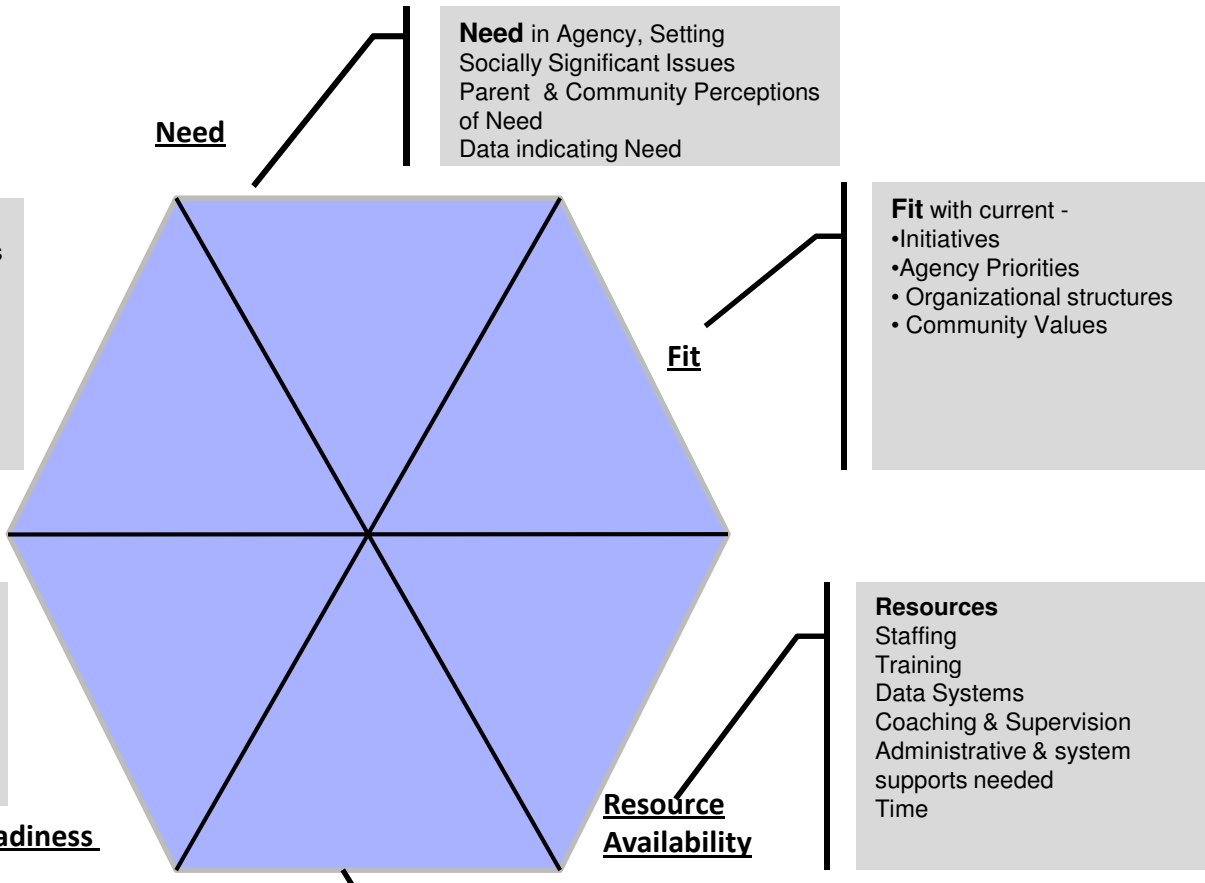
Characteristics and Activities

-  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

Going Deeper: Exploration

- ❑ **Develop the Implementation Team to guide thru the Exploration Stage**
- ❑ **Assess the dimensions(hexagon):**
 - ❑ **Need**
 - ❑ **Fit**
 - ❑ **Resources**
 - ❑ **Evidence**
 - ❑ **Intervention Readiness for Replication**
 - ❑ **Capacity to Implement**
- ❑ **Determine whether adoption and implementation is desirable and feasible**
- ❑ **Test and promote “Buy in” for the innovation and for implementation supports**
- ❑ **Re-Assess and ‘decide’ – if “yes”**
- ❑ **Continue to create readiness for change**

Assessing Evidence-Based Inclusion Programs and Practices



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

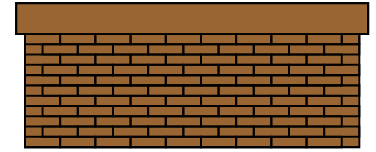
Creating Readiness

Moving **Systems** to Action?

“Systems Don’t Change, People Do.”

~ Jim Wotring, Georgetown University

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 inclusion.”

or


“Inclusion? Isn’t that something the 619 Coordinator takes care of?”

Or

“Everything is fine the way it is!”

Stages of Change

Contemplation

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

“The benefits are not great enough”

or

“Seems really challenging...”

Stages of Change


Preparation

 **The person wants to and plans to participate in increasing inclusion but is still trying to figure out what to do.**

“I’d be interested in promoting and supporting inclusion, 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 philosophy and the practices!”

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 just how we serve all children.”

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 still not sure this isn’t somebody else’s job”

A person or partner who is in
Precontemplation or Contemplation may

- ✎ Show an lack of awareness of the importance of inclusion practices, philosophy, and policy
- ✎ Deny the need for change exists
- ✎ Ignore requests, refuse to participate
- ✎ Over-estimate the “costs”
- ✎ Give “lip service” – Oh, yes, we are all for inclusion!”

Creating the Conditions for Change



Provide Information



Offers are **NOT** related to taking action but to learning more. *What do we mean when we talk about inclusion, why now, and what might it mean for me...my agency?*






“Reflect” Concerns



In a neutral way, acknowledge and validate the person’s concerns (e.g. *“It sounds like you need more information about...”, “It makes sense to me that you are wondering about the reaction of parents...”*)





Creating the Conditions for Change

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 successful inclusion practices?”*)
-  The person’s perspective is a valuable resource in learning more about what is concerning or challenging about inclusion.





~Miller & Rollnick, 1991

Provide “personalized” Rationales

-  Based on person’s “reasons for **their** work”
-  Brief, if...then statements
 -  *“I know you are a **fierce advocate** for families , it might be that our center’s focus on inclusion can help parents and children gain the skills and abilities to participate more fully in community life.”*
 -  *“You are so clear that **working with pre-school children is your life’s work**. We know that inclusion strategies and practices will continue to be at the core of service. As a future leader in the field this might be an opportunity to get grounded in what will be the norm.”*




Implementation Frameworks

Multi-dimensional, Fully integrated

-  Implementation Teams
-  Implementation Stages
-  **Implementation Drivers**
-  Improvement Cycles

The Infrastructure for Change

Implementation Drivers

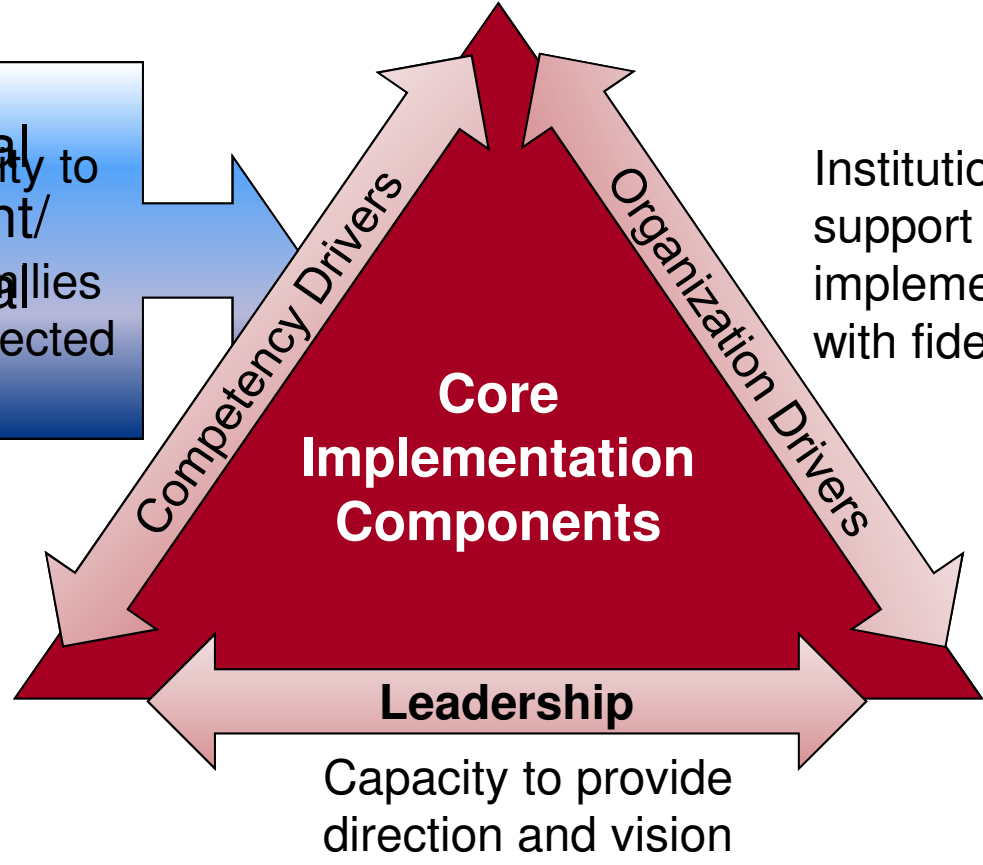
-  Help to develop, improve, and sustain **practitioners' competence and confidence to implement** practices that promote inclusion and the development of all children.
-  Help **ensure sustainability** and improvement at the **organization level**
-  Help **guide leaders** to use the right leadership strategies for the situation

Why: {
What: {

Positive Child Outcomes

Program/Initiative/Framework for
Inclusion and Effective Practices

Professional
Development/
Support
Professional
Learning
Staff capacity to
support
children/families
with the selected
practices



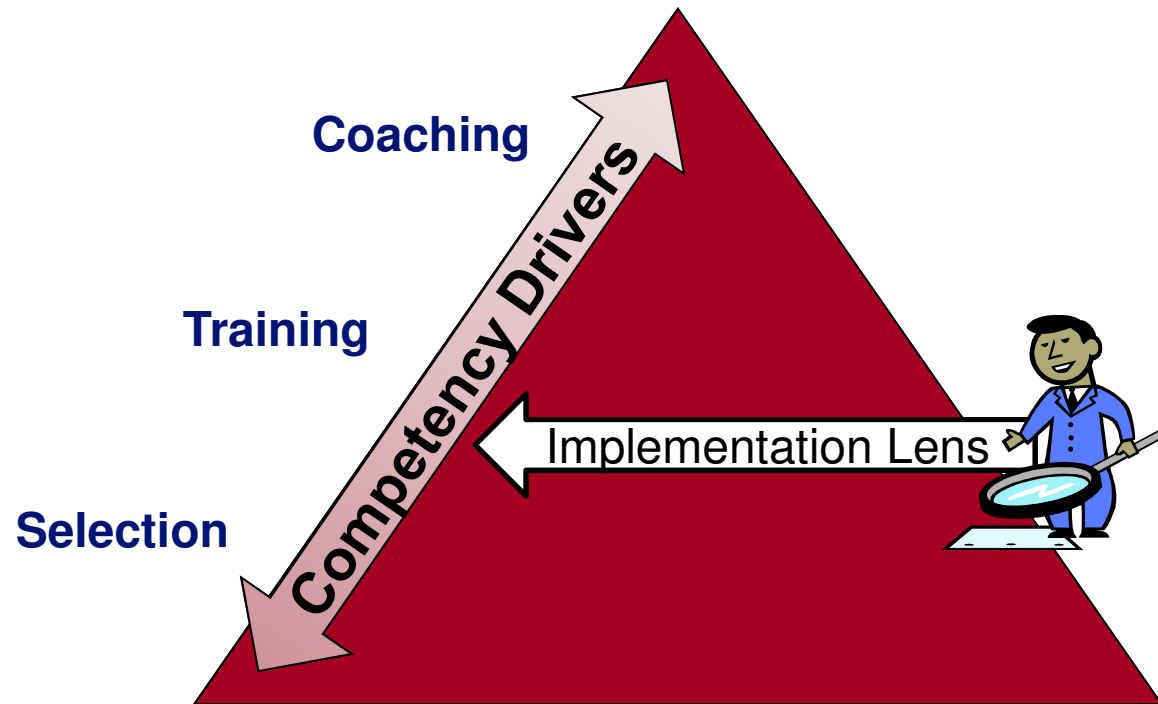
Institutional capacity to
support staff in
implementing practices
with fidelity

**Improved outcomes for
children**



Performance Assessment

***Implementation
Drivers***



Coaching Driver

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

Sobering Observations

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

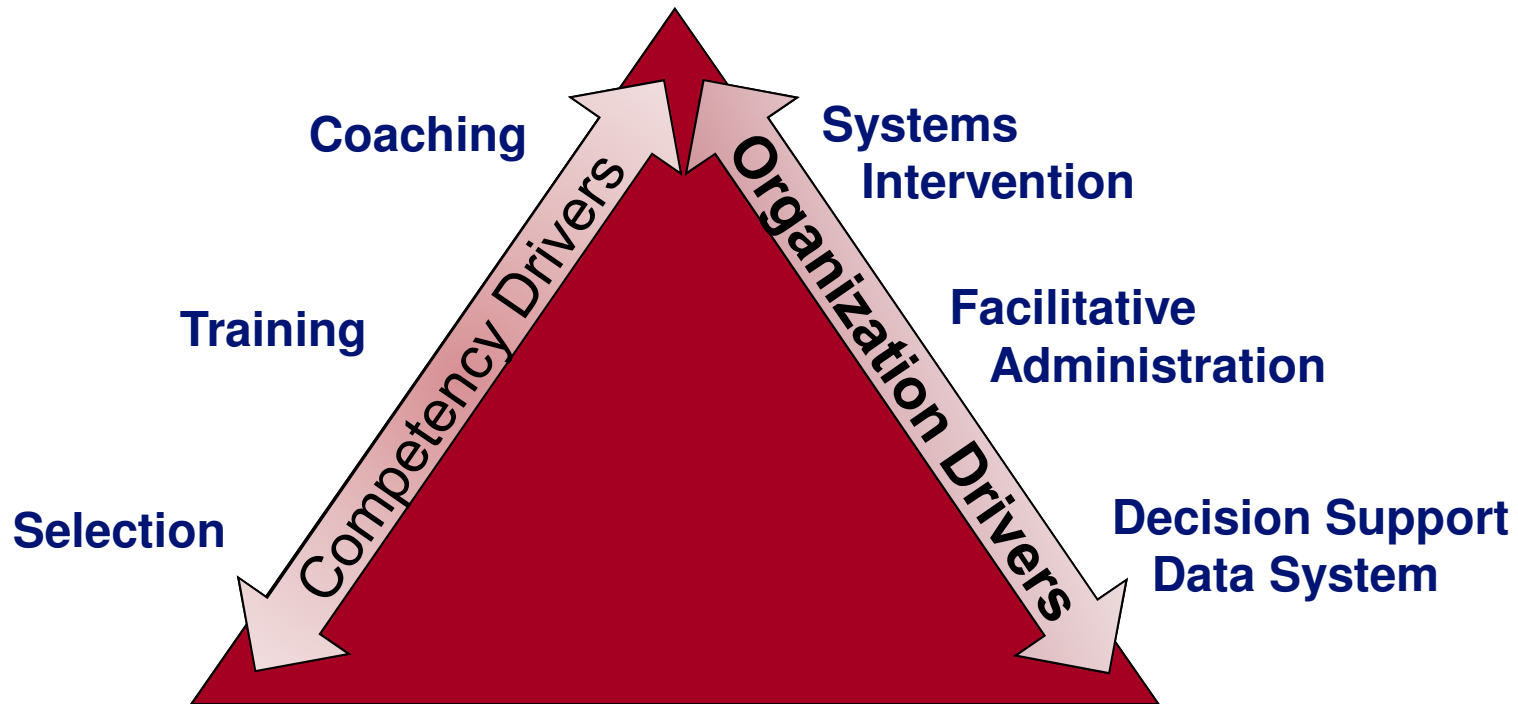
**R. Spencer Darling
Business Expert**

Improved outcomes for children



Performance Assessment

Implementation Drivers



System Stability

EXISTING SYSTEM



**Effective Innovations are
Changed to Fit the
System
Or Operate in the Shadows
(The Ghost System)**

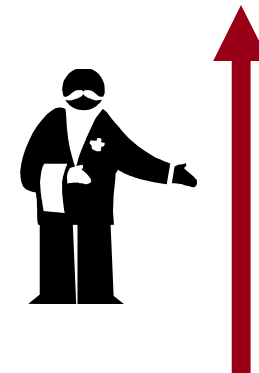
Effective System Change

EXISTING SYSTEM



**Effective Innovations are
Changed to Fit the
System
Or Operate in the Shadows
(Ghost System)**

**EXISTING SYSTEM IS
CHANGED TO SUPPORT
THE EFFECTIVENESS OF
THE INNOVATION**



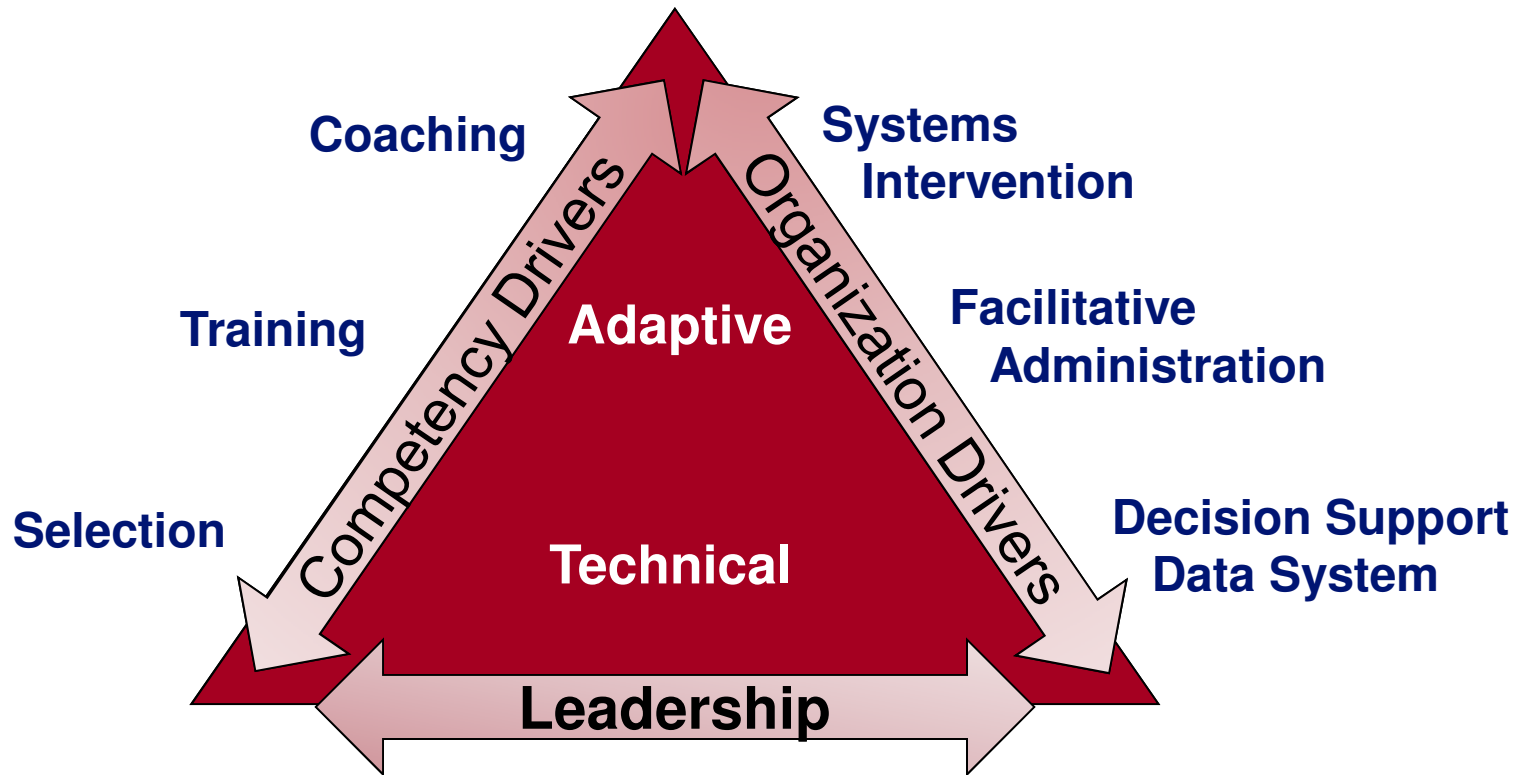
**(Host System)
EFFECTIVE INNOVATION**

Improved outcomes for children






Performance Assessment

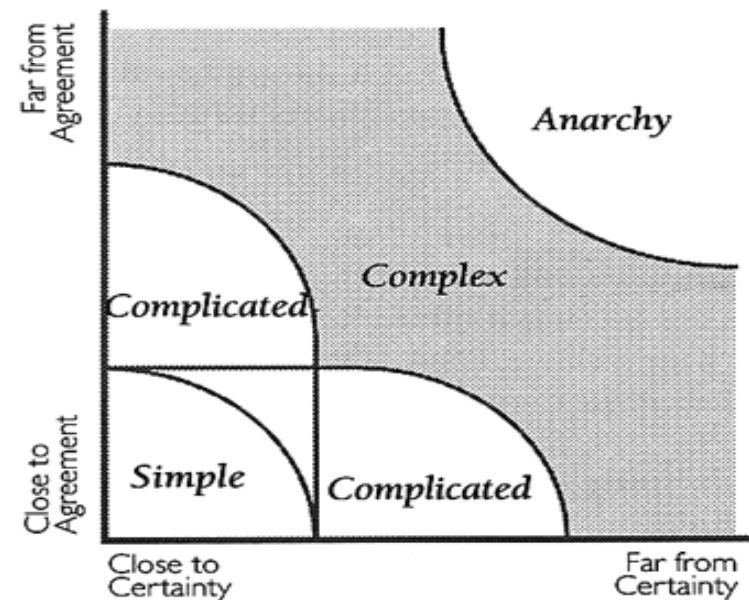
Implementation Drivers



The Leadership Environment

The Leadership Environment changes over time and across initiatives

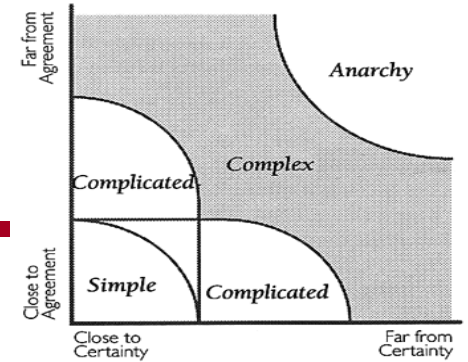
-  Simple
-  Complicated
-  Complex



Types of Leadership Needed

- Different strategies for different challenges
 - Technical Leadership
 - Adaptive Leadership
- According to Ron Heifitz and his colleagues, one of the biggest mistakes “leaders” make is to incorrectly identify the type of challenge they are facing
 - Using technical approaches for adaptive issues

Technical Work



Perspectives are aligned (views, values)

Definition of the problem is clear

Solution and implementation of the solution is clear

Primary locus of responsibility for *organizing* the work is the leader

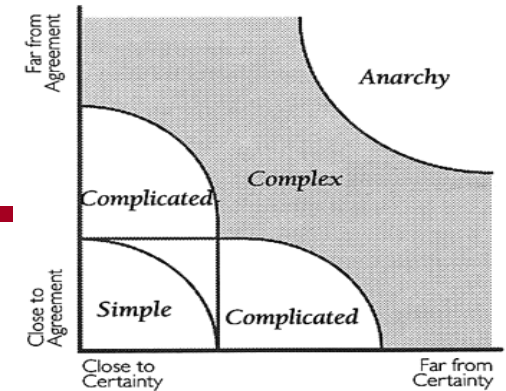
Inclusion = Adaptive Work

Legitimate, yet competing,
perspectives emerge

Definition of the problem is unclear or not
agreed upon

Solution and implementation is unclear
and requires learning

Primary locus of responsibility is not
the leader



The Adaptive Work of the Leader

- Get on the Balcony
- Identify the Adaptive Challenge
- Regulate Distress
- Maintain Disciplined Attention
- Give the Work Back to the People
- Protect All Voices

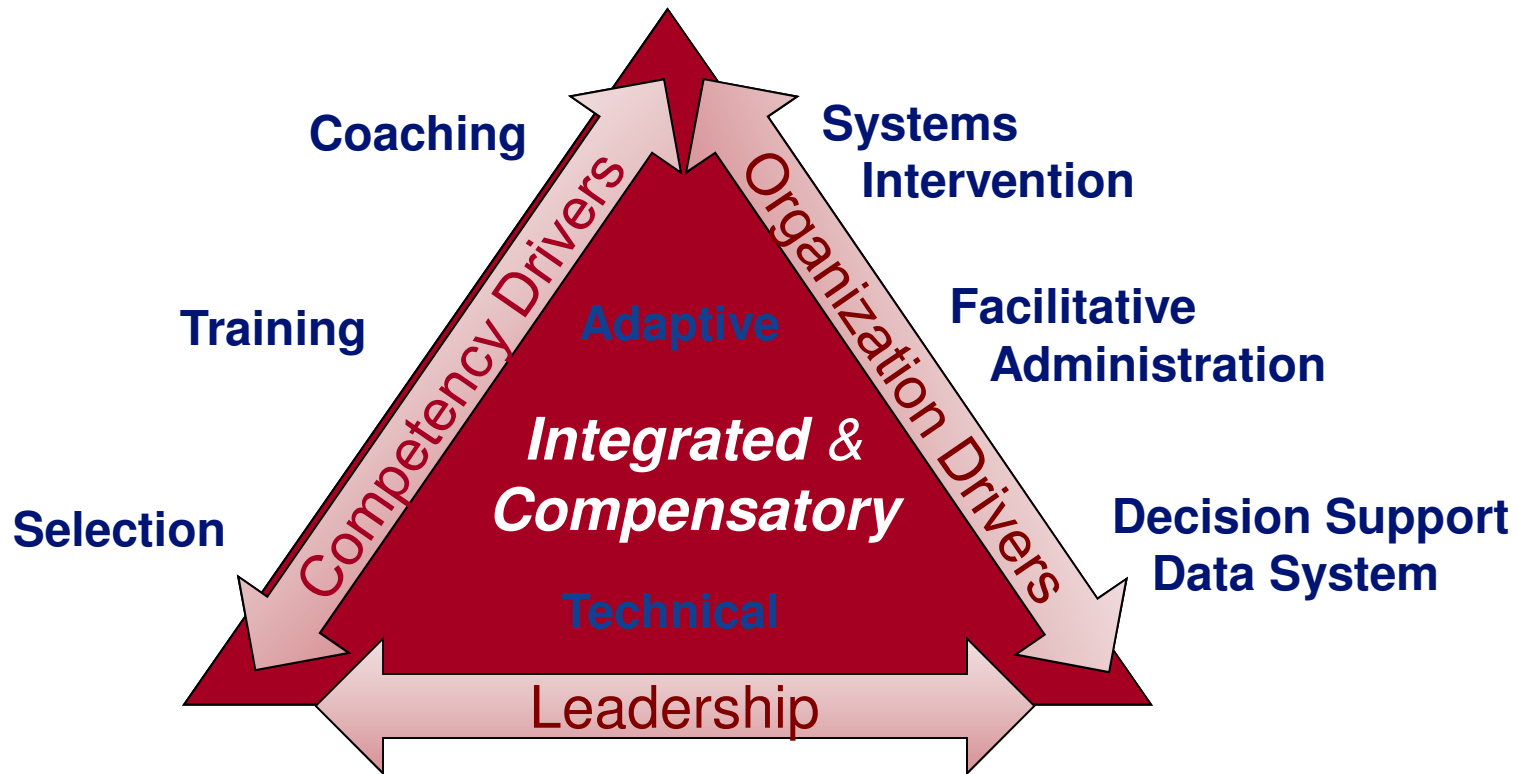
» R. Heifetz and D. Laurie: The Work of Leadership. Harvard Business Review, 1998.

Improved outcomes for children




Performance Assessment

Implementation Drivers




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**

Implementation Frameworks

Multi-dimensional, Fully integrated

-  Implementation Teams
-  Implementation Stages
-  Implementation Drivers
-  **Improvement Cycles**

Improvement Cycle Uses

- 👉 Practice-Policy Feedback Loops
- 👉 Transformation Zones
- 👉 Rapid Cycle Teams
 - 👉 Problem-solving
 - 👉 Practice Improvement
- 👉 *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

 **Practice-Policy Feedback Loops**

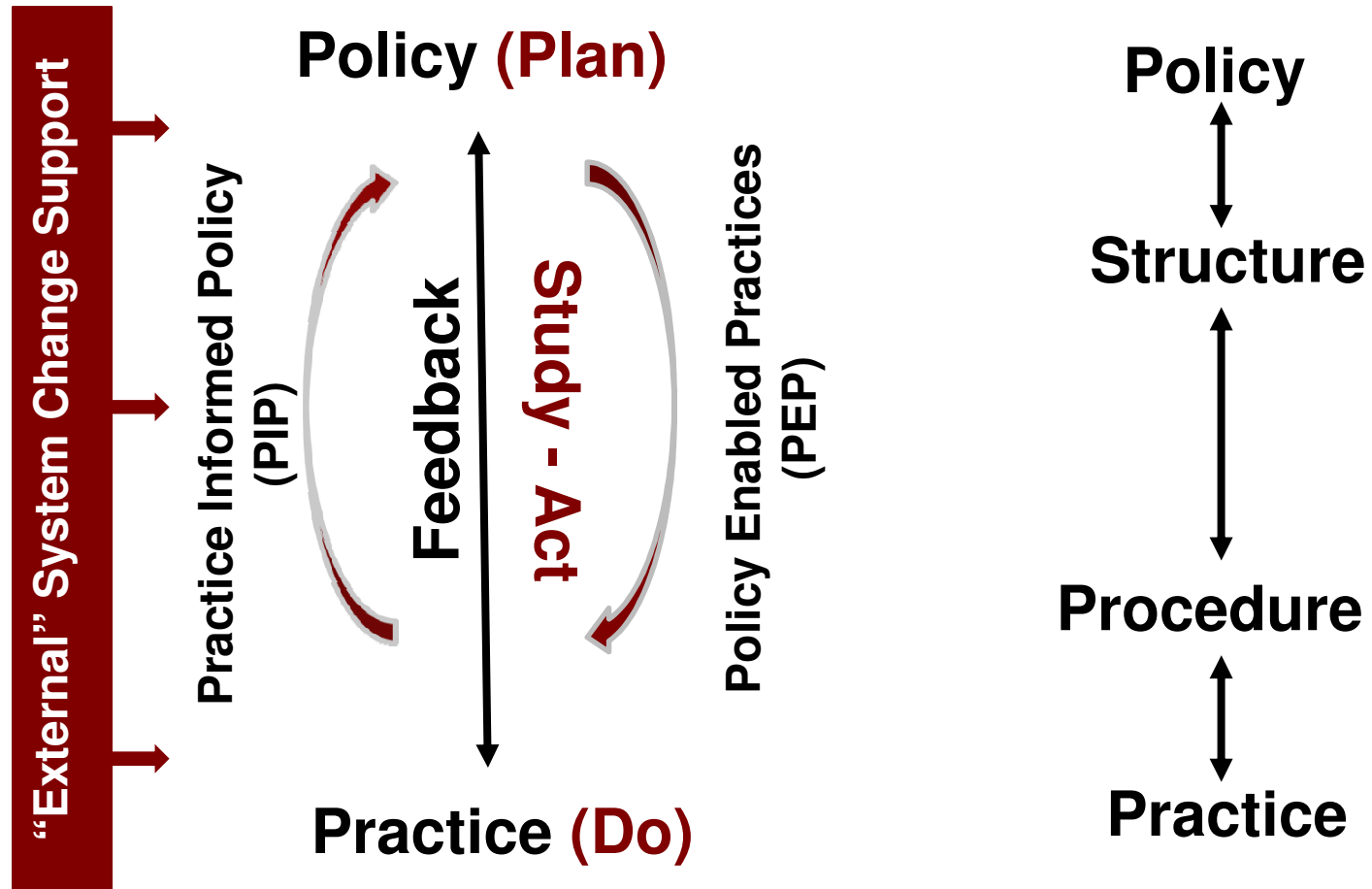
 Transformation Zones

 Rapid Cycle Teams

 Problem-solving

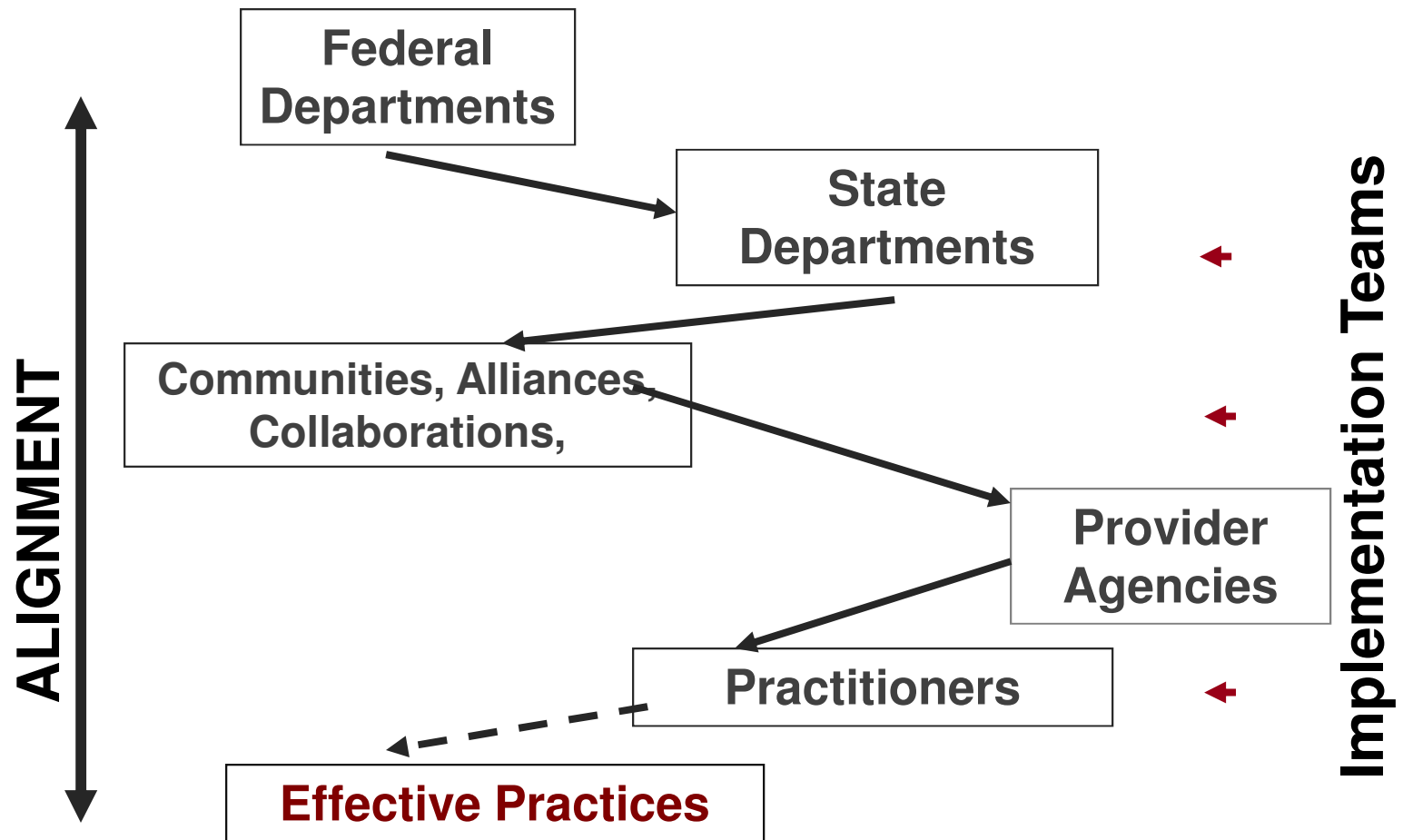
 Practice Improvement

Policy ↔ Practice Feedback Loops



Form Supports Function at every level
(National, State, District, Region, Agency, Practitioner)

System Alignment



FORM SUPPORTS FUNCTION

Improvement Cycle Uses

 Practice-Policy Feedback Loops

 **Transformation Zones**

 Rapid Cycle Teams

 Problem-solving

 Practice Improvement

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**

Summary

- 🚩 Hearts and Minds must be considered!
- 🚩 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
- 🚩 Content Experts 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

Karen A. Blase, Ph.D.

 919-966-9050

 Karen.Blase@unc.edu

Dean L. Fixsen, Ph.D.

 919-966-3892

 Dean.Fixsen@unc.edu



**At the Frank Porter Graham Child Development Institute
University of North Carolina
Chapel Hill, NC**

www.scalingup.org
<http://nim.fpg.unc.edu/>
<http://www.fpg.unc.edu/~nim/resources/publications/Monograph/>

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://www.fpg.unc.edu/~nirn/resources/publications/Monograph/>

To order the monograph go to:

<https://fmhi.pro-copy.com/>