Making It Happen: Implementing Inclusive Systems and 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

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

<table>
<thead>
<tr>
<th>INTERVENTION The WHAT</th>
<th>IMPLEMENTATION – The HOW</th>
<th>Effective</th>
<th>NOT Effective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective</td>
<td>Effective</td>
<td>High Fidelity = Good Outcomes</td>
<td>Low Fidelity = Poor Outcomes</td>
</tr>
<tr>
<td>NOT Effective</td>
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*Getting Here and Staying Here is the Challenge!*

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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

- Practitioners
- Agencies/Providers
- Management (leadership, policy)
- Administration (HR, structure)
- Supervision (nature, content)
- Local, County, State Context
- Federal Context

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Purveyor AND Intermediary Structures and Strategies

Simultaneous, Multi-Level Interventions

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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

Based on Greenhalgh, Robert, MacFarlane, Bate, & Kyriakidou, 2004
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

State Team

Regional or Collaborative Implementation Team

Agency Team
Implementation Team

Prepare Communities

Prepare Agency & State Systems

Work with TA & Researchers

Parents & Stakeholders

Implementation Teams

Assure Implementation

Assure Children Benefit

Create Readiness

Prepare staff & administrators
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

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

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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

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

Fit with current -
• Initiatives
• Agency Priorities
• Organizational structures
• Community Values

Capacity
Staff meet minimum qualifications
Able to sustain Imp Drivers
• Financially
• Structurally
Buy-in process operationalized
• Practitioners
• Families
• Agency and Departments

Capacity to Implement

Readiness
Qualified purveyor
Expert or TA available
Mature sites to observe
# of replications
How well is it operationalized?
Are Imp Drivers operationalized?

Intervention Readiness for Replication

Evidence
Outcomes – Is it worth it?
Fidelity data
Cost – effectiveness data
Number of studies
Population similarities
Diverse cultural groups
Efficacy or Effectiveness

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

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

<table>
<thead>
<tr>
<th>Need</th>
<th>Fit</th>
<th>Resources Availability</th>
<th>Evidence</th>
<th>Readiness for Replication</th>
<th>Capacity to Implement</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Medium</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low</td>
<td></td>
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</tr>
</tbody>
</table>

Total Score:

© National Implementation Research Network 2009
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.
Positive Child Outcomes
Program/Initiative/Framework for Inclusion and Effective Practices

**What:**
- Professional Development/Professional Staff capacity to support children/families
- Institutional capacity to support staff in implementing practices

**Why:**
- Capacity to provide direction and vision
- Leadership

Core Implementation Components
- Competency Drivers
- Organization Drivers

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Improved outcomes for children

Performance Assessment

Coaching

Training

Selection

Implementation Drivers

Competency Drivers

Implementation Lens

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## Coaching Driver

<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>

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

Joyce and Showers, 2002
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

Coaching
Systems Intervention
Facilitative Administration
Decision Support Data System

Competency Drivers
Training
Selection

Organization Drivers

Implementation Drivers

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System Stability

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

EXISTING SYSTEM

EXISTING SYSTEM IS CHANGED TO SUPPORT THE EFFECTIVENESS OF THE INNOVATION

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

(Host System)
EFFECTIVE INNOVATION
The Leadership Environment changes over time and across initiatives

- Simple
- Complicated
- Complex

Westly, Zimmerman, Patton, Getting to Maybe: How the World is Changed, 2006
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

Improved outcomes for children

Performance Assessment

Implementation Drivers

Coaching Systems

Intervention

Improved outcomes for children

Training

Selection

Competency Drivers

Adaptive

Integrated & Compensatory

Technical

Leadership

Facilitative Administration

Decision Support Data System

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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
Implementation Frameworks

Multi-dimensional, Fully integrated

- Implementation Teams
- Implementation Stages
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- 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
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  - Practice Improvement

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System Alignment

ALIGNMENT

Federal Departments

State Departments

Communities, Alliances, Collaborations,

Provider Agencies

Practitioners

Effective Practices

FORM SUPPORTS FUNCTION
Improve Cycle Uses

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

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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


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