

Implementing Evidence Based Practices and Services with Fidelity

1-2 PM EST

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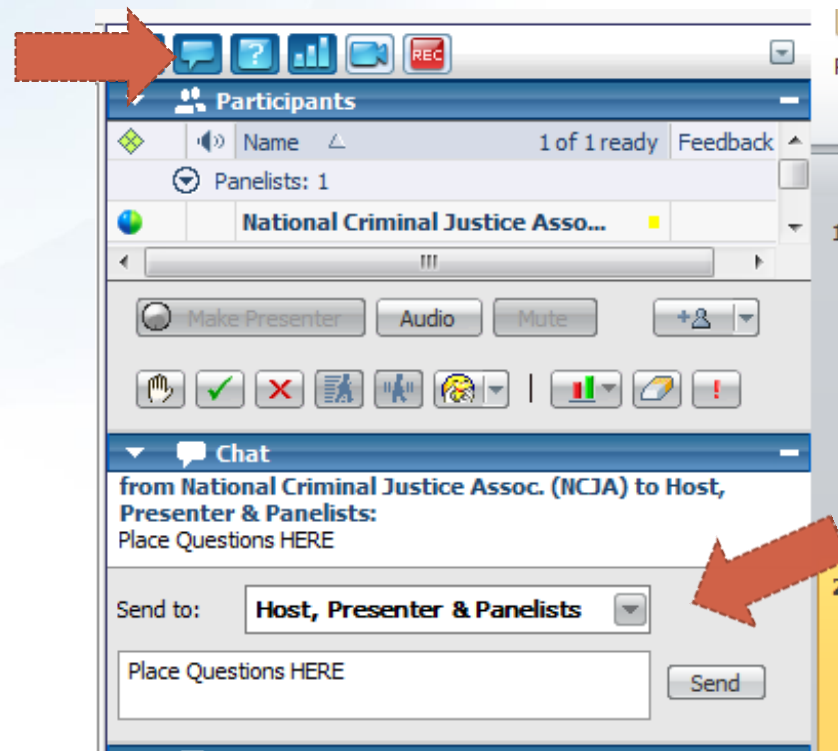
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Moderator

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Implementing Evidence Based Practices and Services with Fidelity

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- Objectives
 - Raise awareness regarding the importance and difficulty of implementation
 - Introduce implementation science and key lessons learned for tackling implementation challenges and achieving fidelity
- What I will cover
 - EBP context
 - Importance and challenge of implementation
 - Implementation science: Key lessons learned
 - Developing staff competence
 - Organizational supports
 - Leadership
 - Moderators of implementation fidelity

IMPLEMENTING EVIDENCE-BASED PRACTICES

EBPs

JUSTICE RESEARCH AND STATISTICS ASSOCIATION

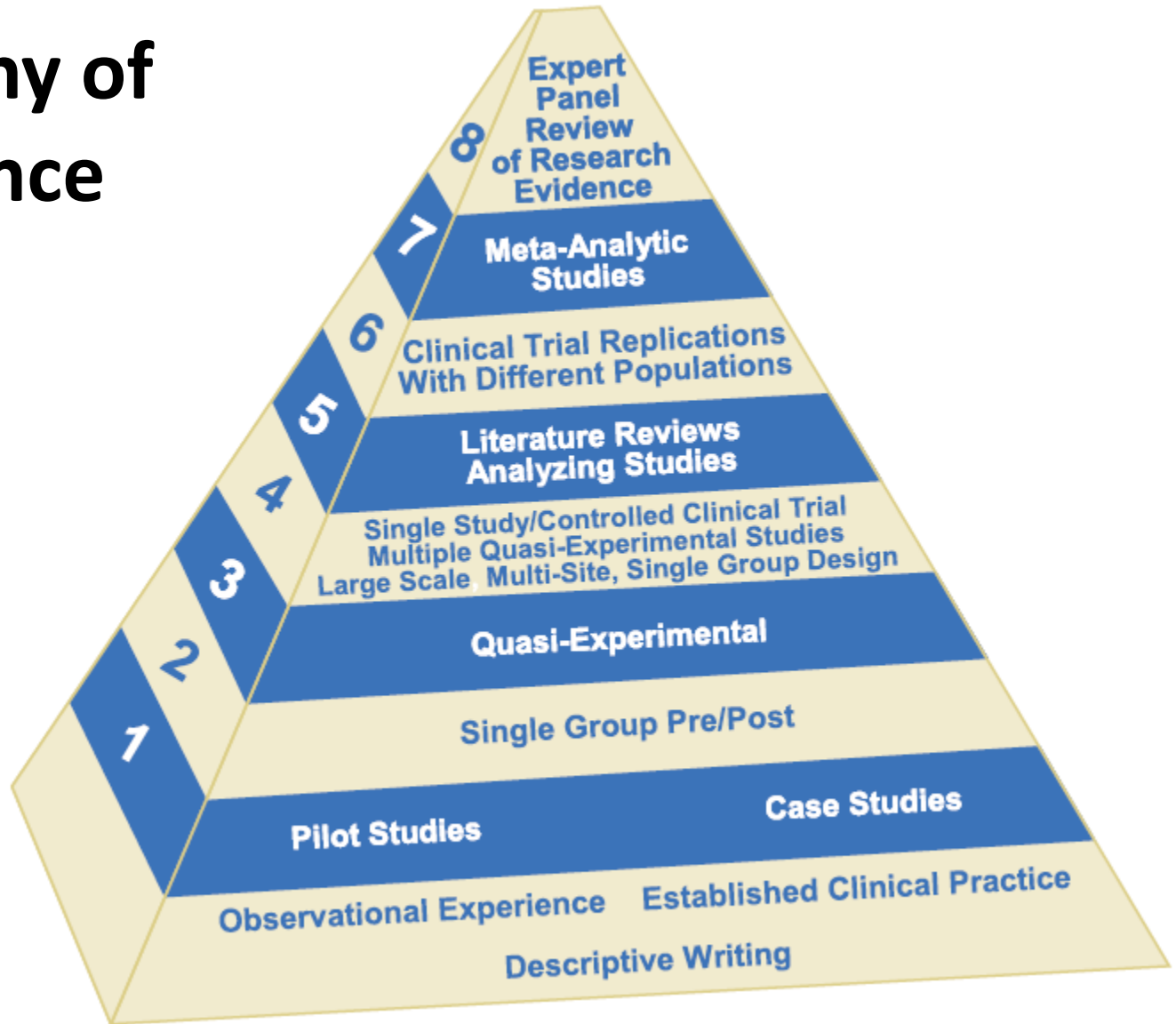
DECEMBER 2014

(REV. JANUARY 2015)



Available to download at: www.jrsa.org

Hierarchy of Evidence



Source: SAMHA Co-Occurring Center for Excellence, Overview Paper No. 6 (2006)

Approaches for Being Evidence-Based

(Lipsey et. al., 2010)

- Brand-name programs “certified” as evidence-based (i.e., FFT, MST, MRT®, ART®)
 - Shown to be effective through multiple RCTs
 - Specific protocol to follow
 - Must deliver with fidelity to protocol/program model
 - Research suggests effectiveness degrades as implementation is removed from program developer

Approaches for Being Evidence-Based

- Effective generic interventions (i.e., drug courts, mentoring, hot-spots policing)
 - Shown to be effective through synthesis research (i.e., meta-analysis)
 - Most programs are home-grown variants of generic interventions
 - No specific protocol; but key program elements may be known

Approaches for Being Evidence-Based

- Follow practice guidelines/principles derived from research
 - Based on common elements of effective programs
 - Derived from mediator and moderator analysis in synthesis research
 - Lipsey's practice guidelines for juvenile interventions
 - Proactive, highly focused policing
 - Principles of effective correctional intervention
 - Risk, Need and Responsivity (RNR)

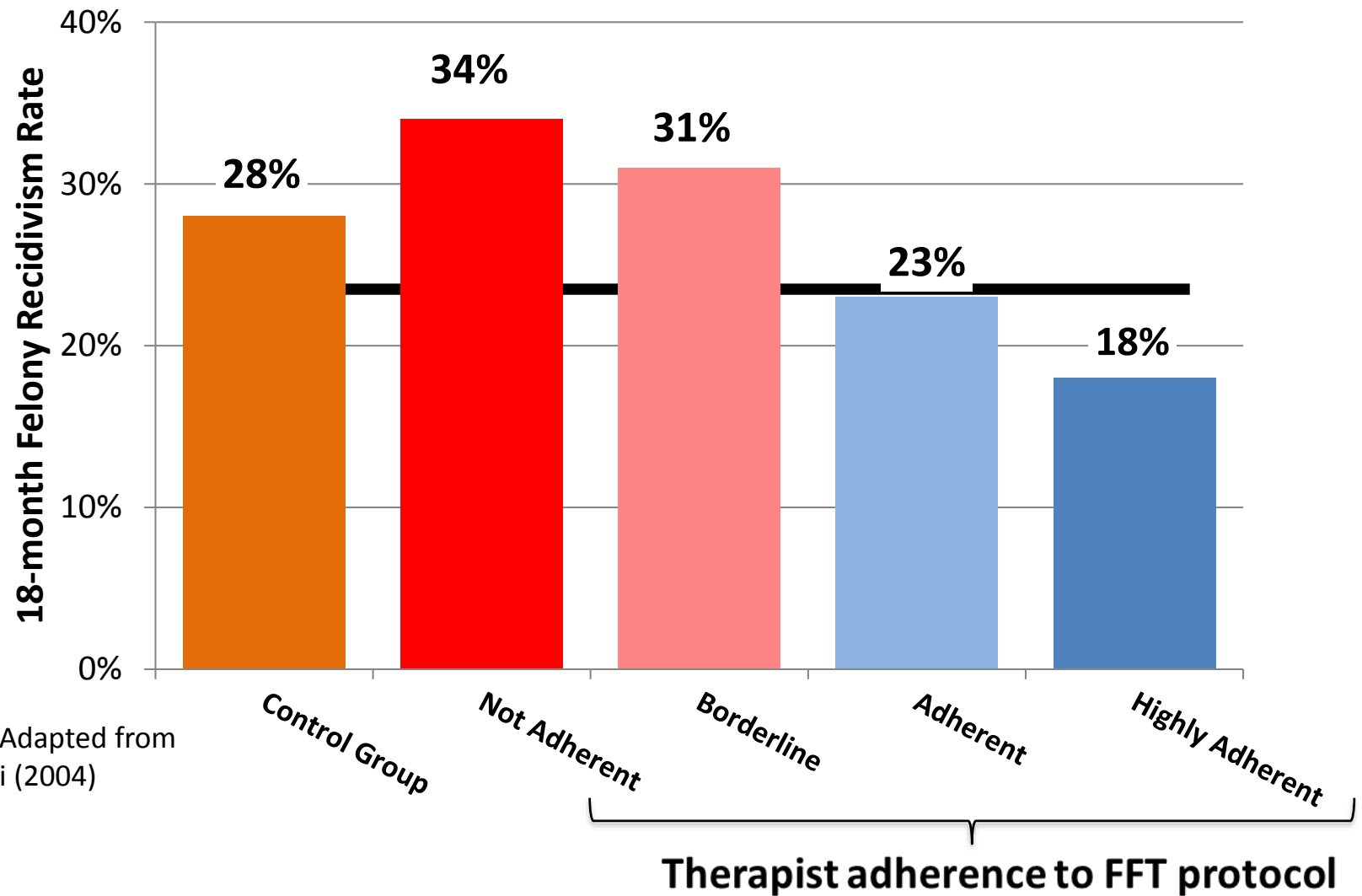
Real World Implementation Takes Place in Highly Complex Settings

Levels of Complexity

Simple	Highly Complex
Following a Recipe (Protocol)	Raising a Child
Recipe is essential.	Recipe (protocol) has limited application.
Recipe is tested to assure replicability of later efforts.	Raising one child gives no assurance of success with the next.
Recipe specifies the nature and quantity of parts needed.	Difficult to anticipate nature and quantity of everything needed for success.
Recipes produce standard products.	Every child (situation) is unique.

Adapted from Freedman, ODI presentation, Exploring the science and complexity of aid policy and practice, London, July 2008.

Washington State Institute for Public Policy Evaluation of Functional Family Therapy in Washington State



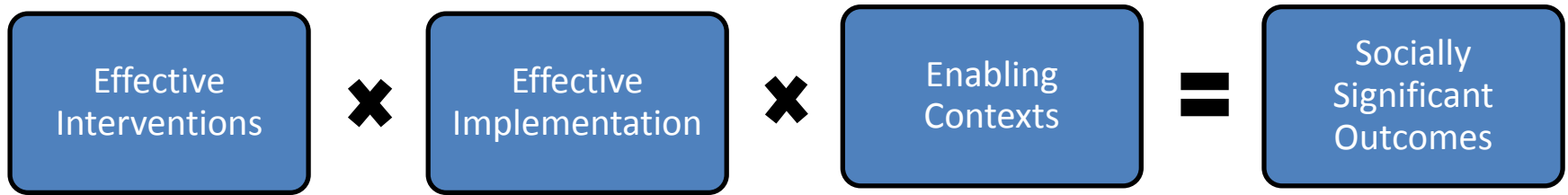
Source: Adapted from
Barnoski (2004)

Implementation Matters

- Identifying and adopting what works is not enough to achieve successful outcomes
 - Evidence-based initiatives still have to be delivered with fidelity/integrity in diverse and complex real-world settings

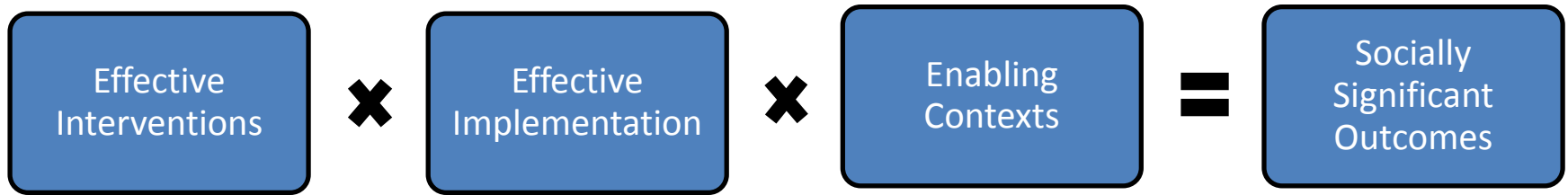
One of the strongest messages coming from the research is that fidelity—the quality with which the treatment is delivered—is crucial to successful outcomes. Lipsey et al. (2010)

Real World Outcomes/Benefits are Shaped by Intervention Effectiveness and Implementation Effectiveness



- Implementation gap
 - What is adopted is not used with fidelity
 - What is used with fidelity is not sustained for a useful period of time
 - What is used with fidelity is not used on a scale sufficient to significantly impact social problems

Real World Outcomes/Benefits are Shaped by Intervention Effectiveness and Implementation Effectiveness



“The ideas embodied in innovative social programs are not self-executing.” Instead, what is needed is an “implementation perspective on innovation—an approach that views post-adoption events as crucial and focuses on the actions of those who convert it into practice as the key to success or failure.”

(Petersilia, 1990)

Empirical Evidence Documenting the Implementation Gap is Extensive

- 2011 Westat study found that only about 3.5% of all school-based programs to prevent youth substance abuse and school crime are research-based and well-implemented (Crosse et al., 2011)
- A 2013 EPISCenter study found that nearly half of the Blueprint program implementations in PA involved adaptation, and 53% of the adaptations were predicted to negatively impact program effectiveness (Moore, Bumbarger & Cooper, 2013)

Implementation Gap

- In an evaluation of the Chicago Police Department's implementation of community-policing, Skogan et al. (1997) identified numerous problems that are routine and ordinary in character
 - Bureaucratic miscues delayed the deployment of computerized crime analysis
 - Officer aptitude for community policing was never linked to pay increases or promotion
 - Citizen involvement was poorly sustained for some population sub-groups due to few officers speaking their language

Implementation Gap

- Wilson (2007) found that the offenders who participated in a prison-based reentry program that was improperly implemented fared significantly worse than offenders who did not participate in the program
- Program development was based upon EBPs, but:
 - Risk assessment tool was dropped during implementation because staff found it too cumbersome to use
 - Program deviated from RNR principles during implementation
 - Delivery of Reasoning and Rehabilitation (R&R) component deviated from the R&R protocol

Implementation Gap

- Studies indicate problems in the administration of risk assessment tools and the development of correctional case management plans are common.
 - In a survey of probation practitioners, Miller & Maloney (2013) found that only about one-half of the respondents required to use structured risk assessments completed the tool carefully, making decisions congruent with tool recommendations

(Haqanee et al., 2015; Viglione et al., 2015; Bonta et al., 2008)

Implementation Gap

- Studies indicate problems in the administration of risk assessment tools and the development of correctional case management plans are common.

Several studies have found discordance between an offender's needs and the treatment targets specified in case management plans, suggesting that lack of adherence to the need principle is a common problem

(Haqanee et al., 2015; Viglione et al., 2015; Bonta et al., 2008)

Implementation Gap

- Bechtel et al. (2011) reported that in the pre-trial setting, implementation problems have occurred because:
 - Some jurisdictions have adopted risk assessment tools developed or validated on a different population without fully considering their target population's characteristics
 - The fidelity of the tool's administration was not monitored
 - No plans were in place for future evaluation of the instrument's predictive validity

High-Quality Implementation is Difficult to Achieve

- Ordinary circumstances present serious obstacles to high-quality implementation
 - What appears to be simple and straightforward in the implementation process often turns out to be more complex than anticipated
 - We often underestimate the number of steps involved, the number of separate decisions that have to be made, or the number of participants whose preferences have to be taken into account

(Pressman & Wildavsky, 1973)

Lessons Learned

- A program/strategy must be conceived as a system in which each element is dependent on the other
- Coordination has a deceptively simple appearance
 - Apparently simple sequences of events in reality depend on complex chains of reciprocal action
 - We underestimate the number and unpredictability of decision points and clearance actions requiring collaboration and agreement
- Must consider the organizational machinery for executing the program/initiative

Implementation Science

- The study of methods to promote the integration of research findings and evidence into policy and practice

(Adapted from NIH, Fogarty International Center)

- Empirically-based insights and tools that can be used to support high-quality implementation in diverse and complex real-world settings

Implementation Science: Lessons Learned

The way in which implementation is conceptualized is far more fateful for success or failure than the content one seeks to implement

IMPLEMENTATION
is
CHANGE MANAGEMENT

The Work of Implementation

- Changing the behavior of human service professionals
 - Practitioners need skill sets tailored to the context, populations, and situations that will be encountered in using EBPs in the new initiative
- Changing organizational structures, cultures, and climates
 - Successful and sustainable implementation of EBPs requires organizational change
 - Funding streams, policies and procedures must create a hospitable environment for implementation and program operations
- Changing the thinking of system directors and policy makers
 - System leaders need to address barriers to adoption, implementation, and sustainability of new ways of doing business

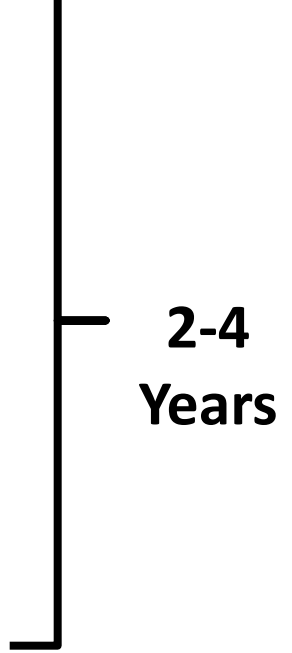
Lessons Learned

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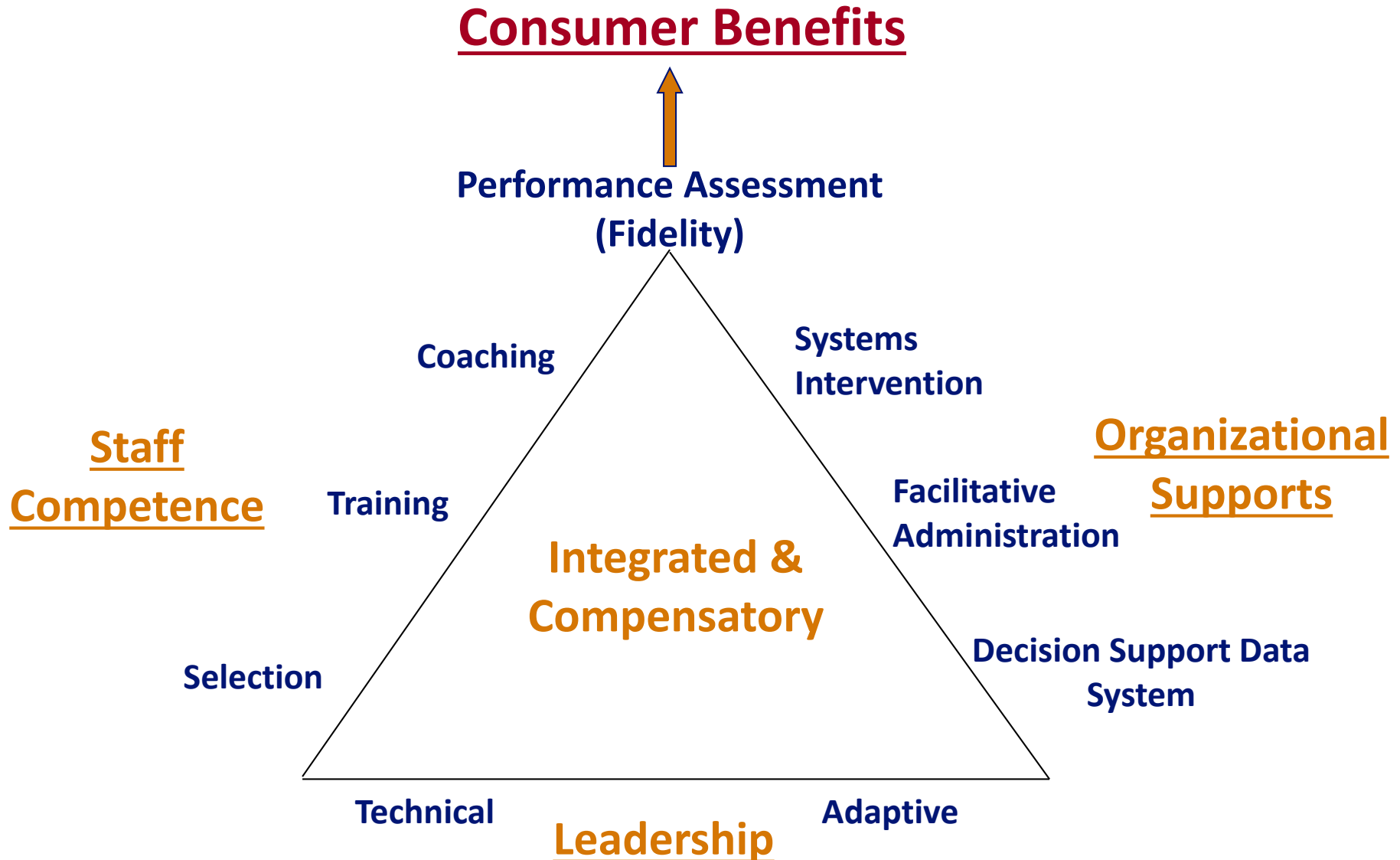
- Implementation is a process, not an event
 - Stages of implementation
- Sound implementation requires time and dedicated attention
 - Purposeful, organized assistance; focused on:
 - Research identified drivers of sound implementation
 - Enabling context and culture

Stages of Implementation

Fixsen et al. (2005)

1. Exploration
 - Awareness, acquisition of information
 2. Installation
 - Active preparation, behind the scene tasks
 3. Initial implementation
 - Initial change in practice; many forces at play, including resistance, push-back
 4. Full implementation
 - The innovation becomes integrated into practitioner, organizational, and community practices, policies, and procedures. Full staffing and client loads. The innovation becomes accepted practice.
 5. Sustainment
- 
- 2-4
Years**

Implementation Drivers



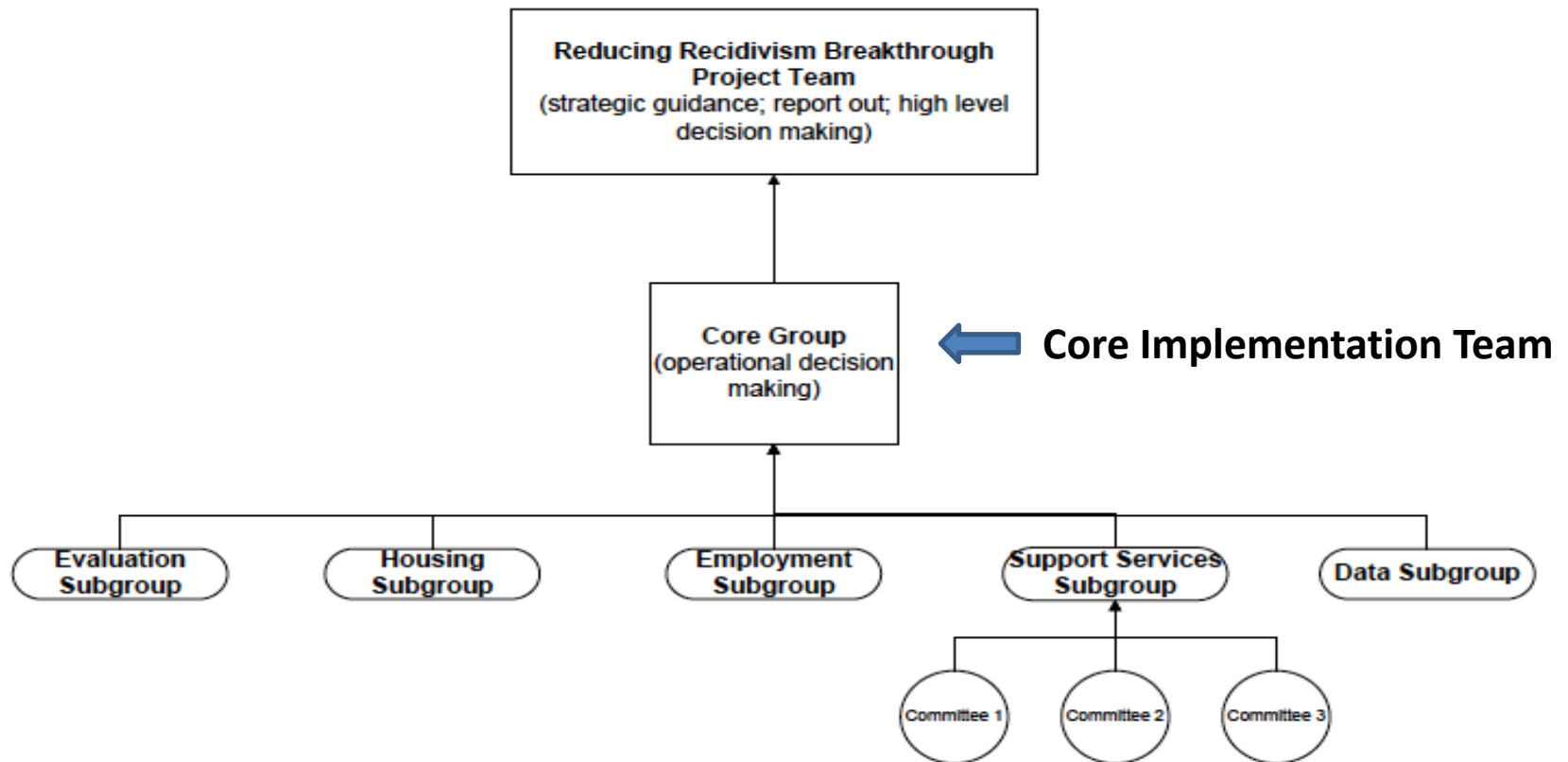
Systems Trump Programs

- Systems and organizations will exert pressures to alter innovations and change initiatives so they fit into existing systems and organizational structures
- Successful implementation requires dedicated, organized and engaged “expert” assistance to overcome these pressures
 - Implementation teams

Implementation Team

- An organized and active group that is responsible for guiding and supporting the implementation effort
- Has the knowledge, skill, freedom and authority to act within a larger organization or a collaboration of agencies
 - Helps plan the implementation
 - Actively supports and facilitates implementation on a daily basis
 - Identifies and helps address implementation challenges
 - Communicates and coordinates at multiple levels of the system, from practitioners to policymakers
 - Helps to ensure that fidelity is achieved and maintained

Implementation Team Example: Arizona Recidivism Reduction Breakthrough Project, Reentry Reform Initiative



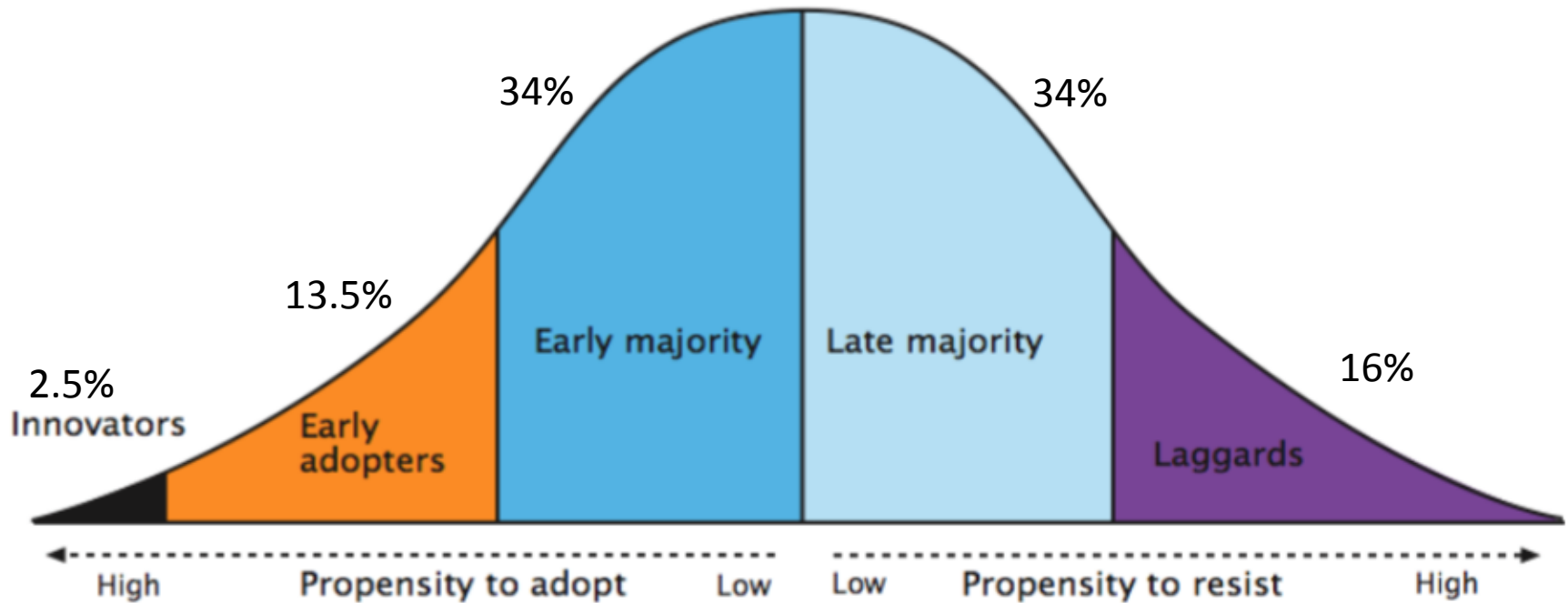
Developing Staff Competence: Training

- Initial training is not enough
- Importance of on-the-job feedback and coaching
 - In corrections, studies have found that initial skill improvements produced through training deteriorate over time, underscoring the importance of on-the-job support (Smith et al., 2012; Bourgon et al., 2010)
 - Bonta et al. (2010) found that correctional officer training + ongoing clinical support on RNR interaction skills produced higher quality interactions with offenders and lower offender recidivism rates

Developing Staff Competence: Training

- Underlying rationale for the new program (WHY), the components and activities that make up the program (WHAT), and the practices and skills needed to deliver the program effectively (HOW)
- Start with **WHY**
 - People don't buy what you do, they buy why you do it (Simon Sinek)
 - Rationale is grounded in brain science and biology
 - Must win hearts and minds, gain trust and loyalty

Law of Diffusion of Innovation



- Recognize importance of...
 - Peer-to-peer influence on trust, loyalty
 - Program champions and change agents
 - Find your innovators and early adopters

Organizational Supports

- Build and assess collaboration
- Focus on core areas that create sustainable change
 - Peer-level champions and change agents
 - Competent mid-level managers who buy into the EB initiative
 - Leadership that models buy-in and commitment
 - Fully integrated policy and procedure
 - Staff performance evaluations that are integrated into the new way of doing business
 - Quality assurance, continuous quality improvement
 - Fidelity measurement

Impact evaluations, while extremely valuable, are a relatively small portion of the hard work that needs to be done with data and data analysis if we are going to move the dial on difficult social problems.

(Liebman, J.B. (forthcoming). Using Data to Make More Rapid Progress in Addressing Difficult U.S. Social Problems. Annals of the American Academy of Political and Social Science, January 2018)

Organizational Supports: Decision Support Data Infrastructure

- Critical to achieve positive outcomes
- Supports ongoing formative evaluation

Formative

- Feedback for program improvement
- Program management tool
- Flexible, often interactive plan
- Periodic reports, responsive to client requests

Summative

- Final report card on effectiveness
- Typically for benefit of external audience
- Fixed plan
- Findings typically reported in a final, all-inclusive report

Organizational Supports: Decision Support Data Infrastructure

- Fidelity assessment

Structure (framework for service delivery) and process (way in which services are delivered)

Common measurement/assessment themes

Context

Adherence

Exposure/Dosage

Competency

Participant engagement

Adaptations and their effects

Core Features of Meaningful QA and CQI Processes in Correctional Agencies

- Organizational performance measurement
- Staff competency assessment
- In-service professional development; including booster training, real-time observation of practice, and coaching aimed at skill enhancement
- Program evaluation
- Client feedback

Fidelity Assessment/QA/CQI Tools

- Risk and need assessment administration
 - Risk Assessment Quality Improvement (RAQI) protocol
 - Inter-rater reliability checks
- Case management plans
 - Case plan audits, reviews and performance measures
 - Indicators that assess the extent to which client needs are matched with appropriate case planning strategies
 - Indicators regarding the development of case plans that help ensure all steps prescribed in the adopted case management model are followed

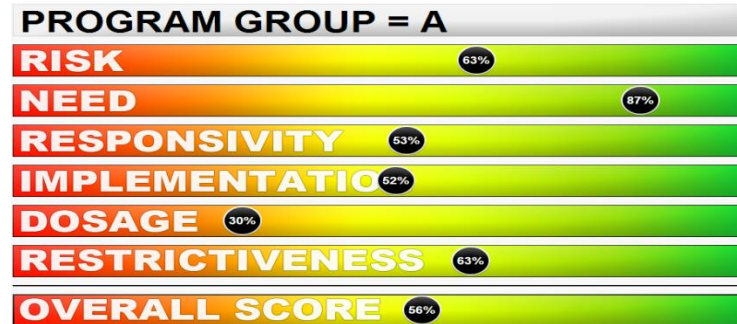
Additional Tools and Resources

- Correctional Program Assessment Inventory (CPAI)
- Correctional Program Checklist (CPC)
- Effective Practices in Community Supervision (EPICS) training
- Standard Program Evaluation Protocol (SPEP)
- SAMHSA National Behavioral Health Quality Framework
 - Performance Metrics for Behavioral Health

<https://www.samhsa.gov/data/national-behavioral-health-quality-framework#exhibit1>
- George Mason University RNR Simulation Tools

RNR SIMULATION TOOL. www.gmuace.org

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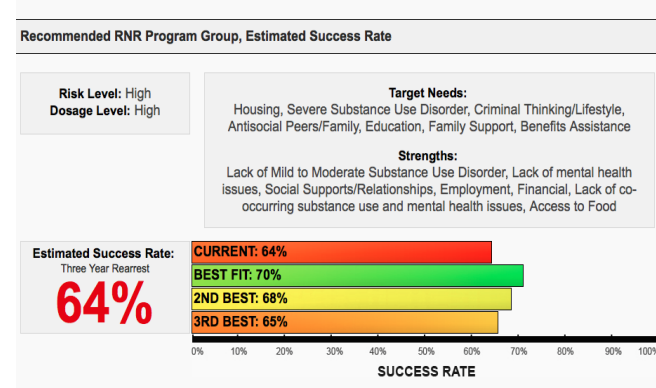


PROGRAM:

How well do the programs adhere to EBPs?



SYSTEM GAPS: How well does my system address risk-needs of offenders?



INDIVIDUAL: What will increase success?

Measures Pertaining to Client Performance in Programming

Need to move beyond counts of referrals

- Screening rate
- Clinical assessment rate
- Referral rate
- Engagement rate
 - Time to placement
- Retention rate
 - Time in programming
- Successful completion rate
 - Exits by type

Access Measures (Systems Level)

- Uniform Screening Protocol
- Insurance Enrollment
- Availability of Programming
- Access Rate
- Participation Rate

Moderators of Implementation Fidelity

- Complexity of the program or practice
- Specificity of the protocol/model description
- Available facilitation strategies
 - Access to implementation guidance and support

Research suggests a greater positive impact on implementation occurs when technical assistance is provided in addition to training and tools

Evidence on Capacity-Building

- Leeman et al. (2015) examined range of efforts used and impact on EBP adoption, implementation and outcomes
- Capacity-building efforts had a positive effect on EBP implementation and outcomes

Capacity-Building Strategies/Tactics

- Training
- Tools
- Technical Assistance
- Assessment
- Peer Networking

Structure

- Most Often Proactive
- Most Often In Context of a Planning Model

Factors that Matter

- **Dosage**
- **Attributes of the EBP and fit with the setting**
- **Setting capacity:
Resources, leadership,
collective attitude**

Moderators of Implementation Fidelity

Staff Responsiveness

Staff training...when layered atop individual values and political environments that are philosophically contrary to the underpinnings of clearly articulated evidence-based practices, is ineffective.

The values and belief systems of individual correctional practitioners and organizational cultures must be concerns of the first order.

The importance of the relationship between committed and competent leaders and successful program implementation cannot be overstated.

(Paparozzi & Guy, 2013)

Leadership

Technical Problems

- Easy to identify, relatively easy to solve
- Often can be solved by an authority or expert
- Solutions typically require change in one or a few places; often within organizational boundaries
- People are generally receptive to the solution
- Solutions can often be implemented quickly and by edict

Adaptive Challenges

- Difficult to identify (easy to deny)
- Require changes in beliefs, roles, relationships, & approaches to work
- People with the problem must be involved in solving it
- Solutions can take a long time to implement and cannot be implemented by edict

The single biggest failure of leadership is to treat adaptive challenges like technical problems. (Ron Heifetz)

Leadership

Technical Problems

Examples of Adaptive Challenges

- Loss of identity, power, authority
- Changes to existing ways of work (“I didn’t sign up for this.” “I’ll wait it out, this will pass.”)
- Hiring/performance criteria
- Service contracts/RFPs
- Climate and culture

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Facilitating Change: Lessons Learned

- “Culture eats strategy for breakfast” (Peter Drucker)
 - Recognize adaptive challenges and be diligent in addressing them
 - Recognize the importance of peer influence and trust
 - Find those who believe what you believe
- Progress is not linear; missteps are inevitable
 - Expect and learn from failures/mistakes
- Focus on organizational learning and continuous quality improvement
 - Plan, do, study, act, repeat

Summary

- Don't underestimate the complexity and difficulty of implementation
- Time is a critical issue for successful implementation*
- Dedicate active, purposeful effort to implementation
- Initial training alone is insufficient*
- Measurement is essential*
- Collaboration is a core strategy for successful implementation*

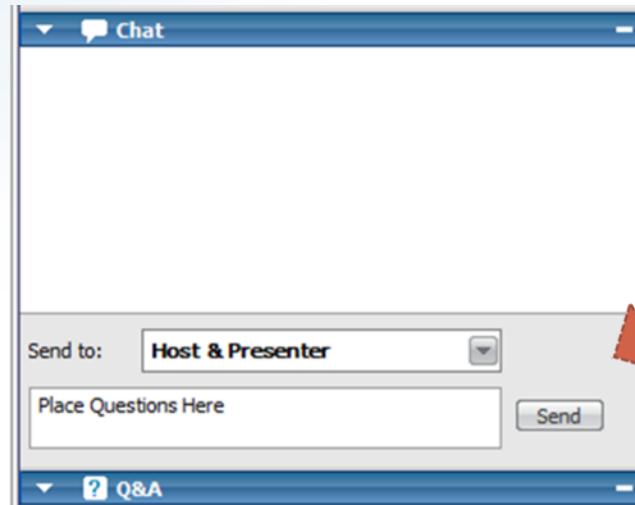
*Burrell & Rhine (2013)

Questions

Thank you for your attention!

Q & A

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Please select **Host and Presenter**



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Q&A

Moderator

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