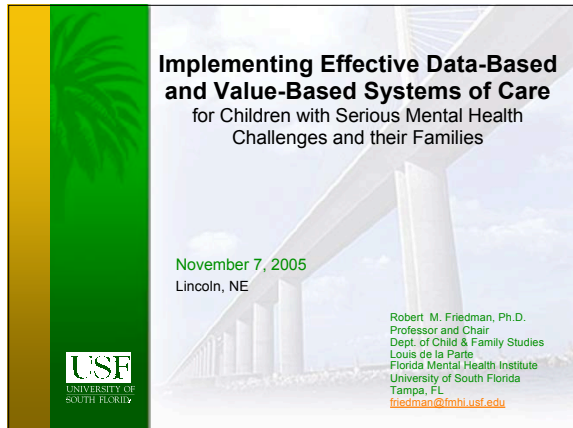


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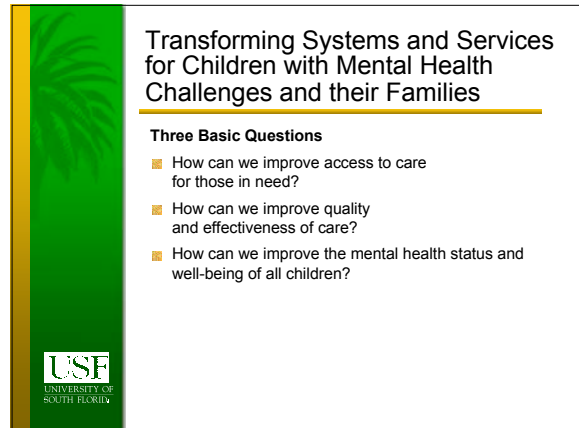


Implementing Effective Data-Based and Value-Based Systems of Care
for Children with Serious Mental Health Challenges and their Families

November 7, 2005
Lincoln, NE

Robert M. Friedman, Ph.D.
Professor and Chair
Dept. of Child & Family Studies
Louis de la Parte
Florida Mental Health Institute
University of South Florida
Tampa, FL
rfriedman@lmhi.usf.edu

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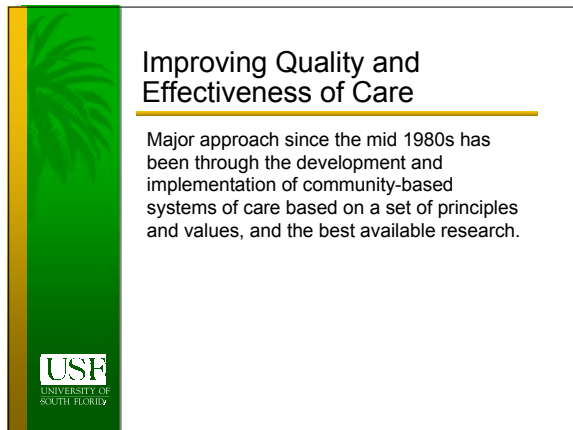


Transforming Systems and Services for Children with Mental Health Challenges and their Families

Three Basic Questions

- How can we improve access to care for those in need?
- How can we improve quality and effectiveness of care?
- How can we improve the mental health status and well-being of all children?

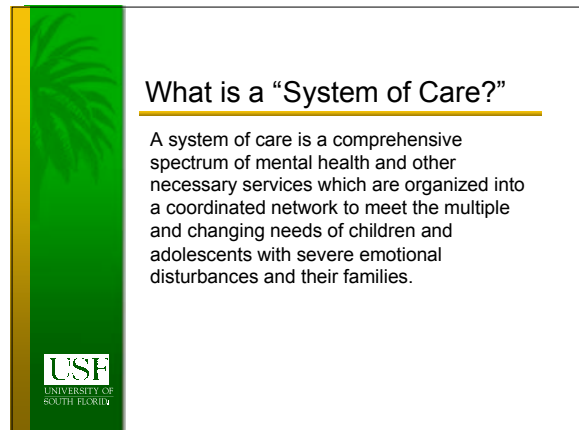
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Improving Quality and Effectiveness of Care

Major approach since the mid 1980s has been through the development and implementation of community-based systems of care based on a set of principles and values, and the best available research.

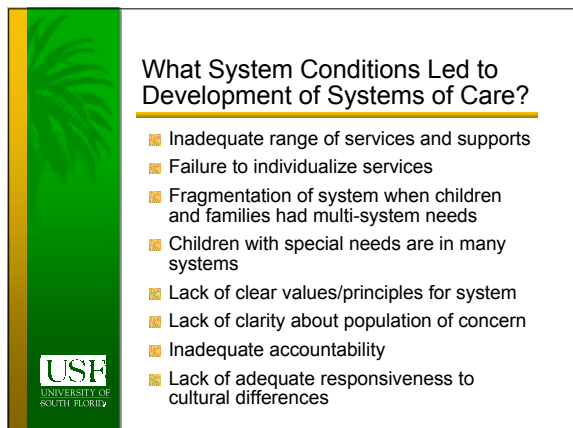
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What is a “System of Care?”

A system of care is a comprehensive spectrum of mental health and other necessary services which are organized into a coordinated network to meet the multiple and changing needs of children and adolescents with severe emotional disturbances and their families.

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What System Conditions Led to Development of Systems of Care?

- Inadequate range of services and supports
- Failure to individualize services
- Fragmentation of system when children and families had multi-system needs
- Children with special needs are in many systems
- Lack of clear values/principles for system
- Lack of clarity about population of concern
- Inadequate accountability
- Lack of adequate responsiveness to cultural differences

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Role of System of Care

- To provide access to effective services for a large and diverse population within a specified community

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Key Principles/Values of a System of Care


- Based on needs of child and family
- Promotes partnerships between families and professionals
- Involves collaboration between multiple agencies and service sectors
- Involves provision of individualized supports and services based on strengths and needs in multiple domains
- Promotes culturally responsive supports and services
- Includes system of ongoing evaluation and accountability



Applying Senge's Learning Organization Model to Systems of Care


Learning organizations are

"organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning to see the whole together"




Five Characteristics of Learning Organizations

- Team learning
- Building shared vision
- Personal mastery
- Mental models
- Systems thinking




Personal Transformation

- Building systems that are transformative requires self-examinations and basic shifts in how we think and interact



"We cannot solve our problems with the same level of thinking that created them."

—Einstein




"Effective decision making and learning in a world of growing dynamic complexity requires us to become systems thinkers—to expand the boundaries of our mental models and develop tools to understand how the structure of complex systems creates their behavior."

—Sternan

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Within a system, “the real power lies in the way the parts come together and are interconnected to fulfill some purpose.”

—Plsek, 2002

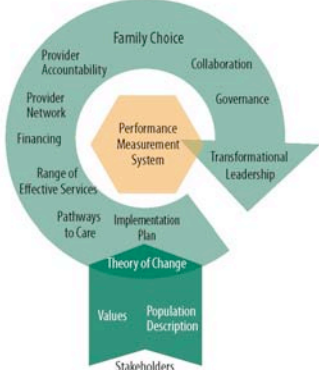



Our Model of Implementation

- Why is it needed?
- From whence does it come?
- How can it be used?



Implementation Factors

Common Processes and Functions

Based on research and experience in:

- Child Mental Health
- Developmental Disabilities
- Adult Mental Health
- Substance Abuse
- Public Health
- Child Welfare
- Community Development
- Prevention




Coming Together

Key stakeholders coming together to express their commitment and develop a plan



Defining and Understanding the Population of Concern

- What are their needs?
- What are their strengths?
- Where can they be found?
- What works to support them and their families?
- How are they currently being served by the system?



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Achieving Agreement on Values and Principles

- Provides key foundation for efforts to provide effective services and supports
- Not just a pretty statement but a strong statement that is used as an ongoing barometer of how the system is functioning
- Developed through a participatory process



Sample Values

- Person-centered/Child and Family Focused
- Individualized
- Culturally Competent
- Needs-Based and Strengths-Based
- Promotes Community Integration



Individualized Care

Consistent w/ President's New Freedom Commission

- "In a transformed mental health system, a diagnosis of a serious mental illness or a serious emotional disturbance will set in motion a well-planned, coordinated array of services and treatments defined in a single plan of care" (p. 8)
- The individualized plan of care...will include treatments, supports, and other assistance to enable consumers to better integrate into their communities" (p. 8)
- "Creative programs will be developed to respond to the needs and preferences of consumers and families, as reflected in their individualized plan of care" (p. 8)



Establishing a "Theory of Change"

Involves Three Parts:

1. Who are we intending to serve?
2. What are our goals for those we intend to serve?
3. How do we believe we can best achieve those goals?



How do we Believe we can Best Achieve Those Goals?

- Review of knowledge in field;
- Use of consultants;
- Input from key stakeholders;
- Identification of strengths of community and system;
- Referral back to values and principles;
- New ways of thinking – new mental models, new frameworks!!!



Development of a Plan of Implementation

- What resources are needed and how will we get them?
- What program/system changes are required and how will we achieve them
- What training/coaching/supervision is needed and how will we provide it?
- What support is needed and how will we obtain it?
- What feedback mechanisms are needed and how will we obtain it?



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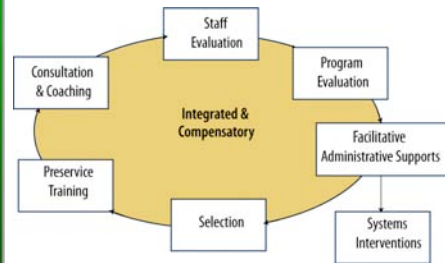
Implementation

It is one thing to say with the prophet Amos, "Let justice roll down the mighty waters," and quite another to work out the irrigation system.

—William Sloane Coffin
Social Activist and Clergyman



Core Implementation Components



—Fixsen et al., 2005



Having a Vision is Easy;
Providing the training, coaching,
supervision and feedback is a big
challenge!



Development of a Performance Measurement System

- Based on theory of change
- For purposes of continuous improvement
- To assist in data-based decision-making



Performance Measurement and Evidence-Based Practice

Two Complementary but Different Concepts

- **Performance measurement** focuses on how we are doing *right now and right here* for purposes of continually improving our system or program performance
- **Evidence-based practice** involves the use of interventions that have met a specific scientific criteria at some other time and in some other place with some other group of children and families



Performance Measurement and Evidence Based Practice

Data on system performance helps stakeholders to determine if they need to make changes. It should come before efforts to make change. If the need is identified, then stakeholders should examine alternative approaches to making change.



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Citywide Accountability Program

Four Parameters

- Data had to be collected regularly and reliably—preferably on a daily basis but at least once a week, at a set time
- Twenty to forty performance indicators that got at the core mission of the agency had to be established
- A regular meeting must be convened, with a minimum frequency of once a week, including a floor plan that demonstrated exactly which agency leaders were required to be present at each meeting
- Ten or more representative performance indicators that the agency wanted on its page of the city's website must be submitted

— Giuliani, 2002, pp. 88-89



Performance Measurement

- Involves aggregate and in-depth data collection
- Involves qualitative and quantitative data
- Involves data from multiple perspectives
- Involves feedback loops to decision-makers, provider agencies, line workers, and all key stakeholders
- Is not just a measurement but a powerful intervention itself!



Review

- Who do we want to serve and what do we know about them?
- What are our values and principles about serving this group?
- What is our goal for this group and what is our theory of how we can best achieve that goal?
- What do we need to do to implement our theory of change?
- How will we gather information on how well we are doing and what we need to do to make improvements?



Outreach Mechanisms and Clear Pathways Into Care

- Are there clear pathways into care?
- Do families and other potential referral sources know about these pathways?
- Are these pathways user friendly and culturally competent?



A Broad and Comprehensive Range of Effective Services and Supports

- Availability of individualized and culturally competent services and supports
- Availability of effective care coordination mechanisms
- Availability of family-friendly and participatory treatment planning processes
- Comprehensiveness of services, supports, and treatment plans



Skilled, Diverse, and Extensive Provider Network

- Importance of having provider network that is large enough, skilled enough, and diverse enough to provide meaningful choice to families



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Accountability at the Provider Level

- What financing and evaluative mechanisms are in place to provide accountability at the provider level?
- What is the role of families in the accountability process?
- Does the process provide practical information that can assist families and treatment teams in making informed choices?



Mechanisms to Ensure Family Choice of Services and Providers

"In a consumer- and family-driven system, consumers choose their own programs and the providers that will help them most. Their needs and preferences drive the policy and financing decisions that affect them."

— President's New Freedom Commission on Mental Health, p. 28



Choice

The **right** thing to do and an evidence based process



Improving Quality and Cost-Effectiveness of Care

A Sampling of Strategies

- Strengthen capability of professionals through training, coaching, supervision
- Provide expanded range of services
- Strengthen integration between systems and agencies at the service and/or system level
- Provide more individualized care



Improving Quality and Cost-Effectiveness of Care

A Sampling of Strategies (continued)

- Expand provider network
- Provide informed choice of services and providers to families
- Implement continuous quality improvement procedures
- Apply treatment guidelines/standards
- Provide more flexible funding and funding mechanisms to support individualized and comprehensive service plans



Improving Quality and Cost-Effectiveness of Care

A Sampling of Strategies (continued)

- Expand use of natural supports
- Apply evidence-based programs
- Identify active agents of change in effective interventions and provide training/coaching in them
- Apply system of care values/principles such as partnerships with families, focus on strengths, and cultural competence
- Identify practices that are ineffective and cease doing them



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Collaboration and “Buy-In” from Key Stakeholders

- Within multiple service sectors
- At multiple levels
- Including families



Why Collaboration?

- Children are in multiple service sectors
- Children and families require services from multiple sectors
- Fragmentation and lack of collaboration is confusing to families, and contributes to narrow rather than comprehensive treatment plans
- Funders and other stakeholders appreciate and “reward” collaboration
- Aren't they all “our children?”



Financing Plan

- That provides adequate resources
- That provides adequate flexibility so that comprehensive, individualized treatment plans can be developed and implemented
- That provides incentives consistent with the values and goals, and theory of change
- That leverages local and state money and provides maximum payoff



Governance Mechanisms and Organizational Strategies

- That provide clear and consistent direction
- That maintain the focus on the values, principles, goals, and theory of change
- That use systematic data and stakeholder inputs to continuously strengthen the system
- That makes decisions and manages resources in an efficient manner

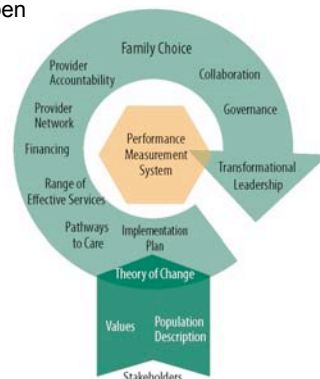


Transformational Leadership

- That appreciates the inter-relatedness of each of the processes and functions with a system
- Recognizes the importance of community-specific contextual factors
- Creates win-win situations for all of the key stakeholders
- Keeps the focus on the bottom line
- Thinks systemically and is open to new ideas
- Is the essence of the system!!




Making it Happen




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Your Challenge

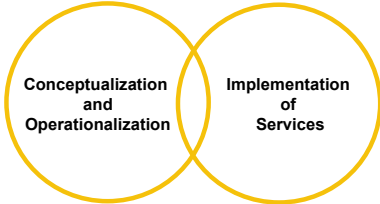
- To come together and work together
- To stick together for the long haul
- To confront the present situation
- To create a vision for a more effective system
- To develop a theory of change, implementation plan, performance measurement system to make it happen!
- It can happen here!




Role Of Evaluation




Is to Help System Designers and Implementers Link Their Ideas to Action




Assumption: the degree of overlap between the two functions contributes to improved planning and service delivery



It is Important to Maximize the Relationship Between Implementation Partners and Evaluators




Develop Maximum Overlap Between the Implementation Partners and the Evaluation



Purpose of the Overlap in Roles is to Focus on the Whole

"From an early age, we are taught to break apart problems, to fragment the world. This apparently makes complex tasks and subjects more manageable, but we pay a hidden, enormous price. We can no longer see the consequences of our actions; we lose our intrinsic sense of connection to a larger whole" (p.3).

Peter Senge (1990). *The fifth discipline: The art and practice of the learning organization*. New York: Doubleday.




A Theory of Change Helps to Facilitate the Relationship Between Implementation Partners and Evaluation

What is a Theory of Change?

- The underlying assumptions and strategies that guide local system of care development and are believed by local planners/builders to be critical to producing changes in available service/supports that are expected to lead to improvements for children and their families.



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Theory Of Change

Beliefs that system, planners, builders, and implementers have about:

- What children with serious emotional/behavioral challenges and their families need from services/supports in order to thrive in their communities

and...


- What local strategies will enable these services/supports to become available and meet those needs



- The theory of change approach helps to clarify each element of the system of care, it enables the system of care community to respond to the question:

“To what do I want to be held accountable?”


— The Evaluation Forum (1999)



- A program (System of Care) is a theory and an evaluation is its test.


In order to organize the evaluation to provide a responsible test, the evaluator needs to understand the theoretical premises on which the program is based (p. 5).

— Carol Weiss (1998)



Beyond Accountability

- Unlike approaches that rely only on the tracking of only outcomes and indicators to build accountability, the theory of change approach:
 - ◆ focuses on more than outcome information
 - ◆ anchors measures in a context
 - ◆ increases the usefulness of collected information
- Links outcomes (both short- and long-term) with program activities/process and the assumptions/principles of the program.



Criteria For Selecting Information

- Is the information useful to managers and administrators?
- Is the information useful to front-line workers?
- Is the information relevant to children and families?
- Is the information relevant to other significant stakeholders?
- Does the information provide the opportunity for corrective action?



- There is no one right way of doing evaluation. It is different for every community.
 - ◆ Different mix of clients
 - ◆ Different service delivery approaches
 - ◆ Defines different outcomes
 - ◆ Different phase of development
 - ◆ Faces different contextual issues

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Why Are You Doing An Evaluation?

- Improving your program
- Evaluating the effectiveness of a program
- Generating new knowledge



Evaluation Questions

- An effective way to narrow the possible field of evaluation questions is through the development of a theory of change framework.
- Once you have built consensus on a theory of change framework, you will find that it provides you and your evaluation team with a focus for your evaluation by clarifying which information is critical to achieving the system's goals.



- **Effective evaluation is not an "event"** that occurs at the end of a year, but is an ongoing process which helps decision makers better understand what occurs throughout a year; how it is impacting participants, partner agencies and the community; and how it is being influenced/impacted by both internal and external factors.



Lessons Learned Using A Theory Of Change Approach to Evaluation

- Benefits:
 - ◆ Targets efforts of organization
 - ◆ Allows organization to link their ideas to action
- Challenges:
 - ◆ Must have an idea or theory
 - ◆ Must know if implementation is true to the idea
 - ◆ Must know whether theory produced anticipated change
 - ◆ Must maintain ability to adapt the theory or idea in light of new information

