Using Change Theories to Assess System of Care Development

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Theories of Change

- **Diffusion of Innovations** (Rogers, 2003)
  - adoption of innovations by individuals and organizations

- **Changing for Good** (Prochaska, Norcross, & DiClemente, 1994)
  - behavior change at individual level

Comparable Stages of Change

<table>
<thead>
<tr>
<th>Innovation-Decision Process</th>
<th>Stages of Change</th>
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<td>Individuals</td>
<td>Organizations</td>
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<tr>
<td>Knowledge</td>
<td>Agenda-Setting</td>
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<td>Persuasion</td>
<td>Matching</td>
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<td>Decision</td>
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<td>Restructuring</td>
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<td>Implementation</td>
<td>Clarifying</td>
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<tr>
<td>Confirmation</td>
<td>Routinizing</td>
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Systems of Care in Indiana

- Technical Assistance Center
  - On-site consultation and coaching
  - Community training
  - Regional training workshops
  - Annual statewide conference
  - Quarterly newsletter
  - Resource manual
  - Listserv

Strength-Based Site Assessment

  - Completed by TA Center site coaches
Stages of System of Care Development

- Development activities that define each stage
- System level (system of care)
- Service-delivery level (wraparound)
- Categorized information in strength-based assessments into stages

System Level Development

Number of Counties by Stage

<table>
<thead>
<tr>
<th>Stages</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
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<td>Count</td>
<td>6</td>
<td>4</td>
<td>3</td>
<td>2</td>
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Service Delivery Level Development

Number of Counties by Stage

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Discussion

Use theories of change to inform:
- Coaching
  - Specific to each stage of change
  - Focused on principles, values, and essential elements
- Creating a road map for development
  - Prioritize next steps
  - Identify when sustainability has been achieved
- Funding decisions
  - Make sure sites are ready to maximize funding
NEXT STEPS IN INDIANA

- Current data on children in SOC: HAPL-C ROLES
- Compare outcomes for SOC children with those receiving usual care
- Relationship between system of care site development and outcomes

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Applying Change Theories to System of Care and Wraparound Coding Template

1. Knowledge-Agenda Setting-Precontemplation

System and Service-Delivery Issues
- (knowledge) Some community members seek (or need) knowledge about SOC and wraparound (values and principles, basic elements)
- (agenda setting) some community members recognize that usual care is not sufficient for children with serious emotional disturbances
- (agenda setting) Some community members recognize SOC and wraparound as an innovation to improve services for SED children
- (agenda setting) At least one community member (champion) identifies SOC and wraparound as way to address needs
- (precontemplation) Some community members deny that current system is not working
- (precontemplation) Some community members are unable to see how wraparound is different from services currently provided
- (precontemplation) One or more community members or organizations resist change

2. Persuasion-Matching-Contemplation

System Issues
- (persuasion) Community leaders form a favorable (or unfavorable) attitude toward SOC
- (persuasion) Some community members are psychologically involved with SOC (as demonstrated by discussions and debates about whether and how to implement SOC in their community)
- (matching) Discussions about how the SOC could be implemented begin
- (matching) Community leaders agree that SOC could improve services for children with SED
- (contemplation) Community admits that their usual system of care is not sufficient and is ready to plan for change (i.e, SOC) some time in the future.

Service Delivery Issues
- (persuasion) Community members form a favorable (or unfavorable) attitude toward wraparound
- (persuasion) Community members are psychologically involved with wraparound (as demonstrated by discussions and debates about whether and how to incorporate wraparound principles into their system of care)
- (matching) Community agrees that wraparound values and principles are compatible with the need to improve services for children with SED
3. Decision-Redefining/Restructuring-Preparation

System Issues
- (decision) Community formally agrees to adopt SOC; a cross-system coordinating committee is formally established
- (redefining/restructuring) Coordinating committee determines how to implement SOC within the SOC framework (e.g., determines the theory of change, identifies outcomes and goals, establishes reporting and accountability mechanisms)
- (redefining/restructuring) Coordinating committee makes decisions about the structure of several key elements (funding, resources, referral procedures, referral criteria, enrollment procedures, outcomes) of SOC in their community
- (redefining/restructuring) Coordinating committee makes decisions (e.g., adopt a mission, values, guiding statements) that are consistent with SOC values and principles
- (preparation) Community announces intentions to implement SOC (post job ads, brochures, conduct community-wide training)
- (preparation) A core group (2-3) of community leaders champion SOC.

Service Delivery Issues
- (decision) Community adopts wraparound as the service delivery framework to be implemented in their SOC
- (decision) Community develops a pilot program; plan to take one or two kids to test out wraparound
- (redefining/restructuring) Community defines wraparound policies and procedures (provider network, service array, staff, crisis planning) that are appropriate for their community
- (redefining/restructuring) Community makes decisions and provides services that are consistent with wraparound values
- (preparation) Community announces intentions to implement wraparound (recruitment for first client begins, training of key staff, team facilitators and possible child and family team members)
- (preparation) Coordinating committee hires SOC coordinator (or other person who has time, energy and personality necessary) to drive SOC development

4. Implementation-Clarifying-Action

System Issues
- (implementation) Policies and procedures established during earlier stages are put into practice
- (implementation) Resources (money, staff, space, time) committed to the SOC during earlier stages are shared among community partners
- (clarifying) Coordinating committee members have a common understanding of their community’s SOC and apply SOC values and principles consistently
• (action) Clear evidence that services are being coordinated across systems (i.e., child serving agencies) is observed
• (action) Community is recognized (by funders, by TA Center, by community) for adopting SOC

Service Delivery Issues
• (implementation) Service delivery staff (e.g., care coordinators, wraparound facilitators) apply wraparound values to their work with children and families
• (implementation) Clients are being served at or near capacity; child and family teams are formed to serve all kids with serious emotional disturbances as needed
• (clarifying) Child and family team members address barriers and challenges by aggressively and openly communicating and problem-solving
• (action) Wraparound values (e.g., strengths-based, culturally competent, integrated, individualized, unconditional, community based, family centered with family voice and choice, flexible) are observed in child and family teams
• (action) Wraparound values are starting to infiltrate the child-serving systems (reaching beyond the staff directly involved in the SOC/wraparound)
• (action) Families are satisfied with the way in which services are coordinated across child serving systems

5. Confirmation-Routinizing-Maintenance

System Issues
• (confirmation) Coordinating committee seeks ways to demonstrate that their SOC is effective (report outcome data; review evaluation data from others)
• (routinizing) Community has sustained changes brought about by SOC creation
• (maintenance) Coordinating committee actively works to enhance/enrich their SOC and eliminate system barriers

Service Delivery Issues
• (confirmation) Child and family teams, families, staff, and coordinating committee members are able to highlight success stories
• (routinizing) Wraparound values are applied beyond SOC enrollments; integrated into the collaborating systems
• (maintenance) Community continues to ameliorate barriers to effective service delivery and gaps in services
• (maintenance) Community provides ongoing training in wraparound values