


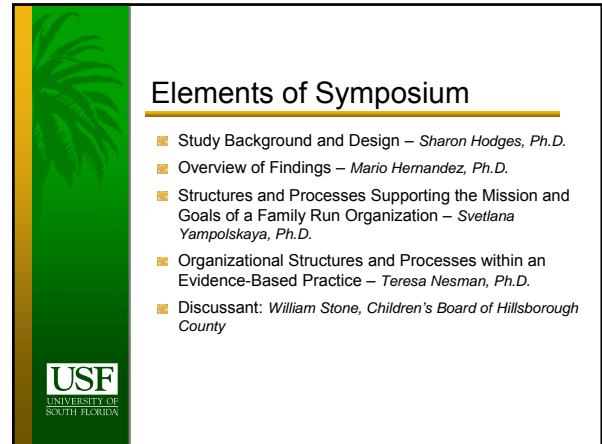

October 21, 2004



## RTC Study 4: Community-Based Theories of Change

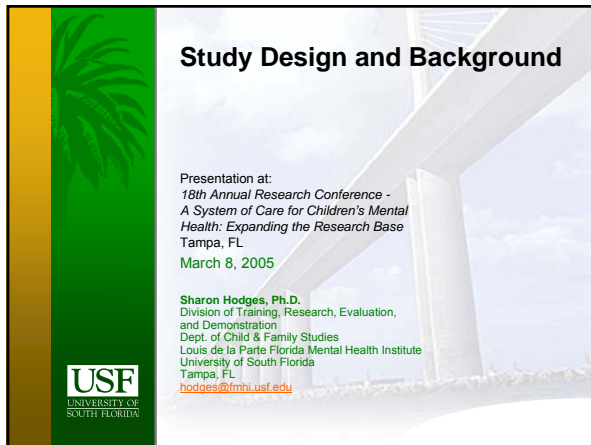

**Highlights of findings**  
*from a national study of community-based theories of change*

Presentation at:  
18th Annual Research Conference -  
A System of Care for Children's Mental  
Health: Expanding the Research Base  
Tampa, FL  
March 8, 2005



## Elements of Symposium

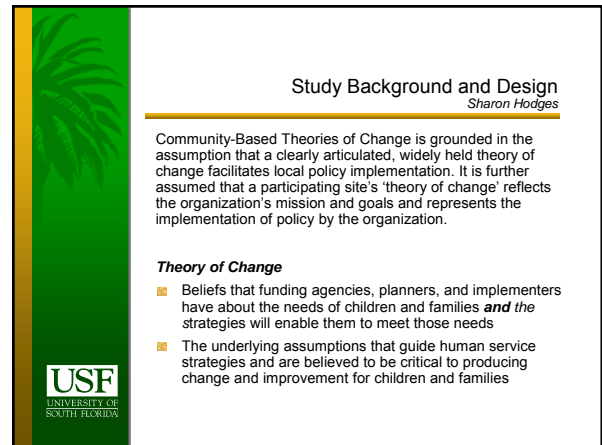

- Study Background and Design – *Sharon Hodges, Ph.D.*
- Overview of Findings – *Mario Hernandez, Ph.D.*
- Structures and Processes Supporting the Mission and Goals of a Family Run Organization – *Svetlana Yampolskaya, Ph.D.*
- Organizational Structures and Processes within an Evidence-Based Practice – *Teresa Nesman, Ph.D.*
- Discussant: *William Stone, Children's Board of Hillsborough County*



## Study Design and Background

Presentation at:  
18th Annual Research Conference -  
A System of Care for Children's Mental  
Health: Expanding the Research Base  
Tampa, FL  
March 8, 2005

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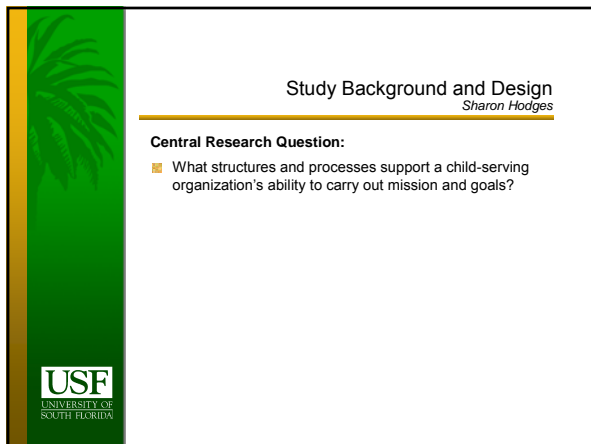

## Study Background and Design

*Sharon Hodges*

Community-Based Theories of Change is grounded in the assumption that a clearly articulated, widely held theory of change facilitates local policy implementation. It is further assumed that a participating site's 'theory of change' reflects the organization's mission and goals and represents the implementation of policy by the organization.

**Theory of Change**

- Beliefs that funding agencies, planners, and implementers have about the needs of children and families **and** the strategies will enable them to meet those needs
- The underlying assumptions that guide human service strategies and are believed to be critical to producing change and improvement for children and families

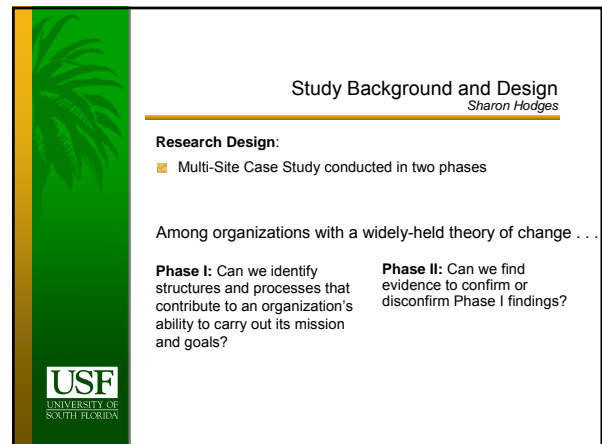



## Study Background and Design

*Sharon Hodges*

**Central Research Question:**

- What structures and processes support a child-serving organization's ability to carry out mission and goals?



## Study Background and Design


*Sharon Hodges*

**Research Design:**

- Multi-Site Case Study conducted in two phases

Among organizations with a widely-held theory of change . . .

|   |  |
|---|--|
| <b>Phase I:</b> Can we identify structures and processes that contribute to an organization's ability to carry out its mission and goals? | <b>Phase II:</b> Can we find evidence to confirm or disconfirm Phase I findings? |
|---|--|



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### Study Background and Design


*Sharon Hodges*

**Phase I:**

- Three organizations with different theories of change
- Learn how these agencies conceptualize, operationalize, and implement their theory of change
- Inductive and exploratory

**Phase I Research Methods:**

- Purposeful Sample involving rigorous site selection process
- Data Collection
  - ♦ Document review
  - ♦ Concept mapping
  - ♦ Individual interviews
  - ♦ Observation
- Data Analysis to date
  - ♦ Narrative data analyzed to identify emergent patterns and themes within and across respondent types
  - ♦ Concept mapping using Concept Systems
  - ♦ Inductive inference used to develop and describe results




### Study Background and Design

*Sharon Hodges*

**Phase I Findings:**

- Site-specific findings reported to individual sites
- Cross-site analysis suggested the presence of:
  - ♦ Four organizational characteristics
  - ♦ Organizational facilitators



### Study Background and Design


*Sharon Hodges*

**Phase II:**

- Five organizations agencies with same theory of change
- Learn how these organizations conceptualize, operationalize, and implement their theory of change

**Phase II Research Methods:**


- Purposeful Sample involving sites using same theory of change
- Data Collection
  - ♦ Document review
  - ♦ Concept mapping
  - ♦ Individual interviews
  - ♦ Observation
- Data Analysis to date
  - ♦ Phase I findings operationalized and inter-rated reliability established on understanding of these findings
  - ♦ Phase II concept mapping statements coded according to Phase I findings
  - ♦ Phase II interviews transcribed, coding in process



### Overview of Findings

Presentation at:  
 18th Annual Research Conference -  
*A System of Care for Children's Mental  
 Health: Expanding the Research Base*  
 Tampa, FL  
 March 8, 2005


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### Overview of Findings

*Mario Hernandez*

#### Creating Change and Keeping it Real




### Overview of Findings

*Mario Hernandez*

Using a theory-based approach, organization members are compelled to:

- examine the underlying beliefs and assumptions
- link expected outcomes to a specific population of focus
- link expected outcomes to strategies for achieving those outcomes.

As a result, they must focus on why they believe certain services or policies will lead to positive changes in the identified population.




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Overview of Findings  
*Mario Hernandez*

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**Four Organizational Characteristics:**

- **Identity** - Clear and shared understanding of organization's purpose
- **Integration** – Organizational structures and functions are aligned
- **Initiative** – Achievement orientation for the organization
- **Innovation** – New and creative approaches to achieving vision and mission



Overview of Findings  
*Mario Hernandez*

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**Two Organizational Facilitators:**

- **Leadership**
  - ◆ Inspiration, guidance and direction
  - ◆ Strong and empowering
  - ◆ Clear lines of authority
  - ◆ Decentralized decision making
- **Communication**
  - ◆ Transmitting information and ideas within and outside the organization
  - ◆ Open, multi-directional, continuous
  - ◆ Formal: staff meetings, written reports, training events
  - ◆ Informal: impromptu phone calls, office visits, lunch gatherings



Overview of Findings  
*Mario Hernandez*

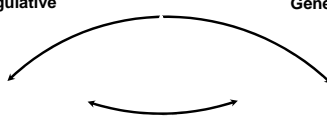

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**Regulative**

- Reliance on Power
- Employs Standardization
- Treats Actions as Final
- Filters Out Feedback

**Generative**


- Reliance on Information
- Context-Sensitive Design
- Treats Actions as Experimental
- Incorporates Feedback

Overview of Findings  
*Mario Hernandez*

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**Facilitating the Balance**





Overview of Findings  
*Mario Hernandez*

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**Benefits and Challenges:**

- **Benefits**
  - ◆ Focused effort
  - ◆ Expanded creativity
  - ◆ Improved ability to demonstrate effectiveness
  - ◆ Increased engagement
  - ◆ Reduced Turnover
- **Challenges**
  - ◆ Resistance to change
  - ◆ Turnover/Training
  - ◆ Balancing the real and the ideal
  - ◆ Need for capacity building
  - ◆ Costs


Regardless of theory of change, sites experienced similar benefits and challenges.



Overview of Findings  
*Mario Hernandez*

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- Evidence to confirm findings across phases of study
- Analysis not complete:
  - ◆ Cross-site analysis of concept maps
  - ◆ Integration of Phase II interview data with analysis of concept mapping statements
  - ◆ Detailed analysis of individual findings




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**Structures and Processes Supporting the Mission and Goals of a Family Run Organization**  
*King County Blended Funding Project*

Presentation at:  
 18th Annual Research Conference -  
 A System of Care for Children's Mental  
 Health: Expanding the Research Base  
 Tampa, FL  
 March 8, 2005


Svetlana Yampolskaya, Ph.D.  
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 Louis de la Parte Florida Mental Health Institute  
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Structures and Processes Supporting the  
 Mission and Goals of a Family Run  
 Organization  
 Svetlana Yampolskaya

**Purpose of the Study:**


- To identify structures and processes within a family-run organization that support its mission and goals



Structures and Processes Supporting the  
 Mission and Goals of a Family Run  
 Organization  
 Svetlana Yampolskaya

**Methodology:**


- Concept Mapping (Trochim, 1993)
- Semi-structured interviews conducted with stakeholders of a family-run organization



Structures and Processes Supporting the  
 Mission and Goals of a Family Run  
 Organization  
 Svetlana Yampolskaya

**Concept Mapping Procedure:**


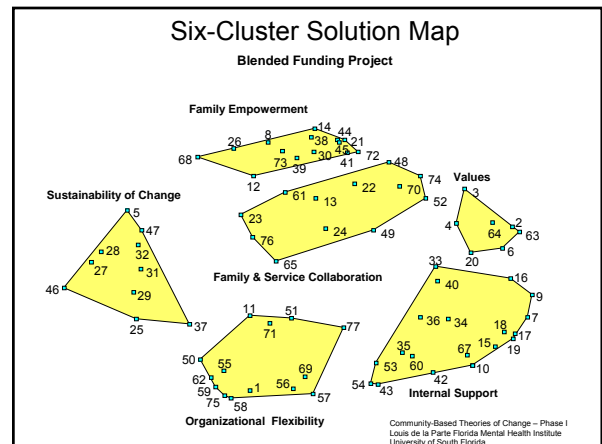
- Participants:**
  - Twelve stakeholders of the Blended Funding Project
- The Focus Statement:**
  - "Generate a list of things that are done in the Blended Funding Project so that you and others understand how to carry out its mission and goals."
  - 77 statements were generated



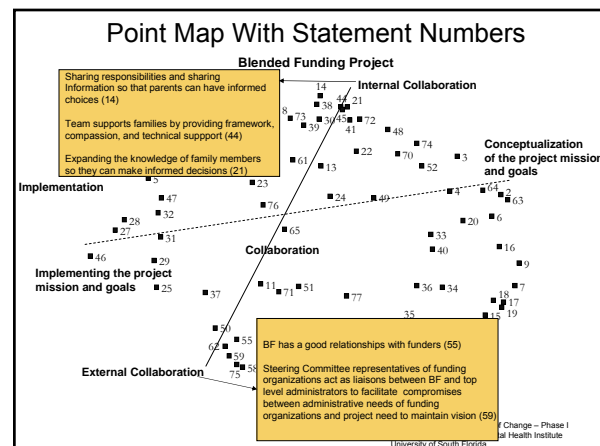
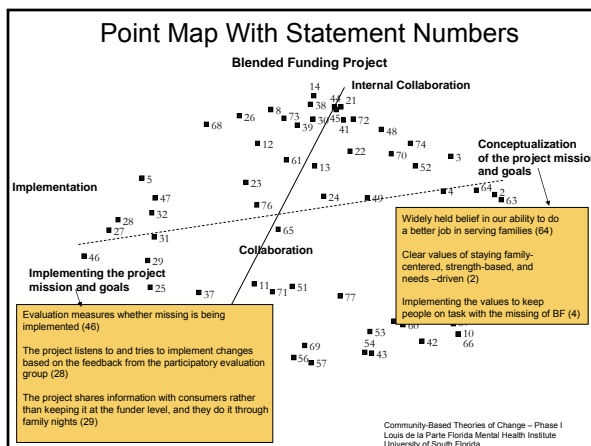
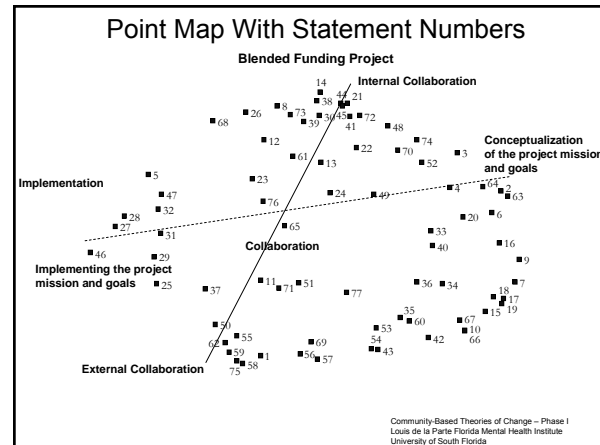
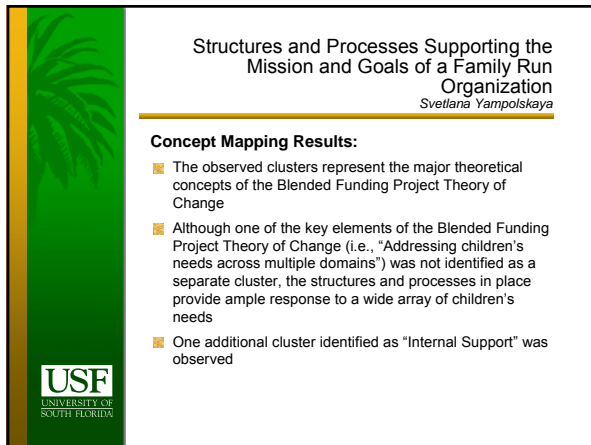
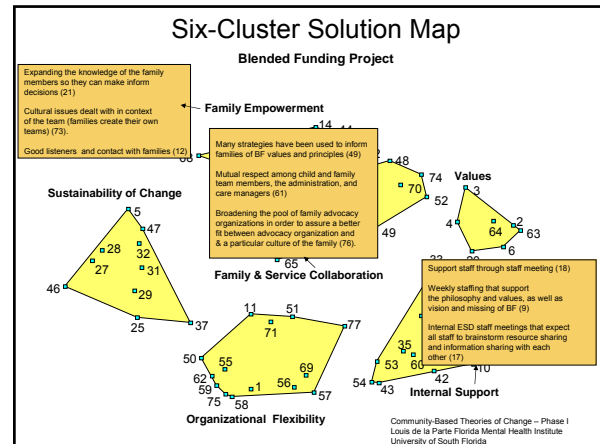
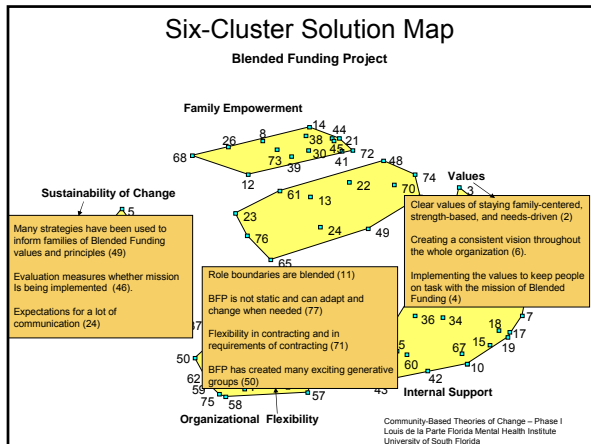
Structures and Processes Supporting the  
 Mission and Goals of a Family Run  
 Organization  
 Svetlana Yampolskaya

**Key Elements of the Blended Funding Theory of Change:**

- Child & family support
- Financial flexibility
- Family empowerment
- Individual & organizational change
- Family collaboration with community
- Family and service system collaboration
- Addressing children's needs across multiple domains

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Structures and Processes Supporting the Mission and Goals of a Family Run Organization  
*Svetlana Yampolskaya*

**Concept Mapping Results:**

- Two dimensions were identified:
  - ◆ Conceptualization/implementation of the project mission and goals
  - ◆ Collaboration with both families and community partners



Structures and Processes Supporting the Mission and Goals of a Family Run Organization  
*Svetlana Yampolskaya*

**Results of Semi-Structured Interviews:**


- Primary theme was the creation and functioning of care teams
- Care teams serve as a mechanism that insures achieving Blended Funding Project mission and goals
- Care teams are created as family-centered



Structures and Processes Supporting the Mission and Goals of a Family Run Organization  
*Svetlana Yampolskaya*

**Quotes:**


- "As a part of the project I have a team of people who support me..."
- "We have a real unusually wonderful wrap-around team..."
- "This is a family empowerment model of change"
- "We let parents have a lot of power... have a voice..."
- "The dollars are actually made available directly to the family and they are all individually designed."
- "Families don't always fit into this nice little system we have, so we try to be creative and mold services for families..."
- "Program that takes a look at the whole family"



Structures and Processes Supporting the Mission and Goals of a Family Run Organization  
*Svetlana Yampolskaya*

**Conclusions:**

- Blended Funding Project has widely held Theory of Change
- There is collaboration with both families and community partners
- Care teams and internal support are mechanisms that allow for achieving the project mission and goals
- The project was created as family-centered: Family is an overseer services provision and family as a recipient of wrap-around services




**Organizational Structures and Processes Within an Evidence-Based Practice**

*Cross-Site findings From a Study of Teaching Family Organizations*

Presentation at:  
*18th Annual Research Conference - A System of Care for Children's Mental Health: Expanding the Research Base*  
Tampa, FL  
March 8, 2005

Teresa Nesman, Ph.D.  
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Organizational Structures and Processes Within an Evidence-Based Practice  
*Teresa Nesman*

**Phase II of a National Study: Community-Based Theories of Change:**

■ **Research Questions:**

- ◆ How does an organization implementing an evidence-based practice turn ideas into action?
- ◆ What structures and processes support such an organization's ability to carry out its mission and goals?
- ◆ How does such an organization sustain its focus?




**Organizational Structures and Processes Within an Evidence-Based Practice**  
*Teresa Nesman*

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**Teaching Family Association (TFA) Theory of Change:**

- Behavioral problems in children and youth result from a lack of appropriate alternative ways of interacting with their home, school, and community environments.
- Therapeutic change takes place through the implementation of individualized child and family treatment plans.
- Change for professionals and organizations is necessary to achieve client-level outcomes.

Teaching Family Association: <http://www.teaching-family.org/about-us.html>




**Organizational Structures and Processes Within an Evidence-Based Practice**  
*Teresa Nesman*

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**Concept Mapping: Participants**

- Staff from Organizations Implementing the Evidence-Based Practice of TFA
  - ◆ Barium Springs Home for Children (Barium Springs) N=13
  - ◆ Bringing It All Back Home (Morganton) N=16
  - ◆ Closer To Home (Calgary) N=20
  - ◆ Utah Youth Village (Salt Lake City) N=11
  - ◆ Devereaux Family Programs (New Jersey) N=11




**Organizational Structures and Processes Within an Evidence-Based Practice**  
*Teresa Nesman*

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**Concept Mapping: Brainstorming and Rating**

- Focus statement for brainstorming:  
*"Generate a list of things that are done at [our organization] so that we understand how to carry out the Teaching-Family mission and goals."*
- Statements generated per site:
  - ◆ Barium Springs 101
  - ◆ BIABH 97
  - ◆ Closer To Home 101
  - ◆ Utah Youth Village 53
  - ◆ Devereaux 81
- Rating statements on Importance and Effectiveness (Scale of 1-5)




**Organizational Structures and Processes Within an Evidence-Based Practice**  
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**Analysis: Comparison to Phase I Findings**

- Analysis of brainstorming statements for the presence of Phase I organizational characteristics and facilitators:
  - ◆ Coding statements from each site by categories:
    - Identity
    - Innovation
    - Integration
    - Leadership
    - Initiative
    - Communication
  - ◆ Addition of new codes/modification of definitions
  - ◆ Calculating interrater reliability for coding within and across sites
- Comparing reliability with importance and effectiveness ratings for each statement




**Organizational Structures and Processes Within an Evidence-Based Practice**  
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**Interrater Reliability (Percent Agreement) by TFA Site and Phase 1 Theme (N = 3 Raters)**

| TFA Site     | Phase 1 Theme |             |            |            |               |            | Total      |
|--------------|---------------|-------------|------------|------------|---------------|------------|------------|
|              | Identity      | Integration | Initiative | Innovation | Communication | Leadership |            |
| Utah         | 83%           | 75%         | 81%        | 95%        | 92%           | 95%        | 87%        |
| Closer       | 86%           | 69%         | 88%        | 88%        | 83%           | 91%        | 84%        |
| Devereaux    | 93%           | 73%         | 90%        | 86%        | 80%           | 96%        | 86%        |
| BIABH        | 91%           | 69%         | 91%        | 89%        | 86%           | 86%        | 85%        |
| Barium       | 91%           | 69%         | 91%        | 91%        | 75%           | 70%        | 82%        |
| <b>Total</b> | <b>89%</b>    | <b>71%</b>  | <b>88%</b> | <b>90%</b> | <b>83%</b>    | <b>88%</b> | <b>85%</b> |




**Organizational Structures and Processes Within an Evidence-Based Practice**  
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**Overall Interrater Reliability by TFA Site**

| TFA Site  | Overall Agreement | 0/3 Agreement | 2/3 Agreement | 3/3 Agreement | Kappa |
|-----------|-------------------|---------------|---------------|---------------|-------|
| Utah      | 77%               | 8%            | 47%           | 45%           | .407  |
| Closer    | 71%               | 12%           | 53%           | 36%           | .405  |
| Devereaux | 76%               | 7%            | 49%           | 43%           | .400  |
| BIABH     | 67%               | 22%           | 35%           | 43%           | .460  |
| Barium    | 72%               | 12%           | 48%           | 41%           | .346  |




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**Organizational Structures and Processes  
 Within an Evidence-Based Practice**  
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**Highest Reliability, Importance & Effectiveness  
 Ratings-Identity**

| FACTOR      | REL/IMP/EFF  | #  | STATEMENT  |
|-------------|--------------|----|--|
| IDENTITY    |              |    |  |
| - Barium    | 1.004.774.75 | 57 | Family teachers live and model the TF approach   |
| - BIABH     | 1.004.754.47 | 4  | BIABH encourages us to live what we teach in our personal lives                              |
| - Closer    | 1.004.904.11 | 64 | Individual commitment to this work   |
| - Devereaux | 1.004.914.73 | 58 | Commitment that all pieces of the model have to work together (you can't just do part of it) |
| - Utah      | 1.004.554.36 | 34 | Job is not a job, it's a lifestyle-cultural/mission-driven commitment                        |




**Organizational Structures and Processes  
 Within an Evidence-Based Practice**  
*Teresa Nesman*

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**Highest Reliability, Importance & Effectiveness  
 Ratings-Integration**

| FACTOR      | REL/IMP/EFF  | #  | STATEMENT  |
|-------------|--------------|----|--|
| INTEGRATION |              |    |  |
| - Barium    | 1.005.005.00 | 30 | Group homes have a couple and two staff, plus three floaters available (adequate staffing) |
| - BIABH     | 1.005.005.00 | 94 | All consultants are experienced as Teaching Parents  |
| - Closer    | 1.004.854.16 | 52 | In-home support staff for teaching parents   |
| - Devereaux | 1.005.004.80 | 3  | Provide Teaching Parents with skills (skill list) to teach to children, skill curriculum   |
| - Utah      | 1.004.364.45 | 23 | Families and children are part of the treatment team                                       |




**Organizational Structures and Processes  
 Within an Evidence-Based Practice**  
*Teresa Nesman*

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**Highest Reliability, Importance & Effectiveness  
 Ratings-Initiative**

| FACTOR      | REL/IMP/EFF  | #  | STATEMENT   |
|-------------|--------------|----|---|
| INITIATIVE  |              |    |   |
| - Barium    | 1.004.894.58 | 2  | Evaluations - individual and program components using aggregate information from all program evaluations as a systemic tool         |
| - BIABH     | 1.004.884.67 | 89 | High criteria for accountability and job performance at all levels  |
| - Closer    | 1.004.654.33 | 35 | Working toward clearly defined outcomes (e.g., performance based contracts with funders)  |
| - Devereaux | 1.004.644.36 | 48 | TFA evaluation process offers feedback that allows program to grow  |
| - Utah      | .674.644.55  | 26 | Mandatory performance improvement with clear expectations. Consumer ratings and feedback create an incentive for change in practice |




**Organizational Structures and Processes  
 Within an Evidence-Based Practice**  
*Teresa Nesman*

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**Highest Reliability, Importance & Effectiveness  
 Ratings-Innovation**

| FACTOR      | REL/IMP/EFF  | #  | STATEMENT   |
|-------------|--------------|----|---|
| INNOVATION  |              |    |   |
| - Barium    | 1.004.774.33 | 48 | Flexibility: fitting model to the kid - techniques have to be individualized                  |
| - BIABH     | 1.004.664.80 | 18 | TFM is not a cookie-cutter approach (allows different approaches with different children)     |
| - Closer    | 1.004.654.42 | 25 | Flexible responses to needs of consumers  |
| - Devereaux | .674.734.36  | 20 | Flexibility of Teaching Parents   |
| - Utah      | 1.004.274.27 | 12 | Grassroots (informal) - ongoing discussion of individual client needs, problems, and progress |




**Organizational Structures and Processes  
 Within an Evidence-Based Practice**  
*Teresa Nesman*

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**Highest Reliability, Importance & Effectiveness  
 Ratings-Leadership**

| FACTOR      | REL/IMP/EFF  | #  | STATEMENT   |
|-------------|--------------|----|---|
| LEADERSHIP  |              |    |   |
| - Barium    | 1.004.063.97 | 78 | Admissions is by clinical team decision                       |
| - BIABH     | 1.004.504.47 | 23 | Leadership of BIABH serve as role models                      |
| - Closer    | 1.004.854.68 | 27 | Higher authority to make decisions 24-7                       |
| - Devereaux | 1.004.823.73 | 32 | Ability to set guidelines for admission standards of the kids |
| - Utah      | 1.004.364.27 | 32 | Everybody lives the TFM: model is management style            |




**Organizational Structures and Processes  
 Within an Evidence-Based Practice**  
*Teresa Nesman*

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**Highest Reliability, Importance & Effectiveness  
 Ratings-Communication**

| FACTOR        | REL/IMP/EFF  | # | STATEMENT   |
|---------------|--------------|---|---|
| COMMUNICATION |              |   |   |
| - Barium      | 1.005.004.67 | 1 | Preservice training   |
| - BIABH       | 1.004.944.60 | 1 | Preservice training   |
| - Closer      | 1.005.004.21 | 3 | Preservice training   |
| - Devereaux   | 1.005.004.91 | 1 | Intensive training - initial preservice training  |
| - Utah        | 1.005.004.18 | 1 | Preservice workshop/training: 40+ hours includes teaching TFM...role playing (10 hrs) with role play feedback |





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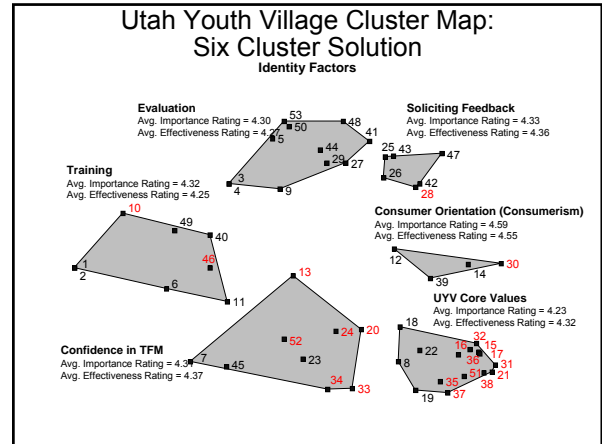
### Organizational Structures and Processes Within an Evidence-Based Practice


*Teresa Nesman*

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#### Next Steps: Cluster Map Analysis

|                  | Barium  | BIABH   | Closer To Home   | Utah  | Devereaux  |
|------------------|---|---|--|---|--|
| # Statements     | 101   | 97  | 101  | 53  | 81   |
| 6-Cluster Titles | <ul style="list-style-type: none"> <li>• Training</li> <li>• Consultation</li> <li>• Client-Specific Approach</li> <li>• TF &amp; the Community</li> <li>• Collaboration</li> <li>• Continuous Quality Improvement</li> </ul> | <ul style="list-style-type: none"> <li>• Training</li> <li>• Consultation</li> <li>• TFA</li> <li>• Awareness</li> <li>• Self-Determination</li> <li>• Quality</li> </ul> | <ul style="list-style-type: none"> <li>• Training</li> <li>• Support</li> <li>• Our Values</li> <li>• Treatment</li> <li>• Positions/Staffing</li> <li>• Outcome Measures/Feedback Points</li> </ul> | <ul style="list-style-type: none"> <li>• Training</li> <li>• Soliciting Feedback</li> <li>• UYV Core Values</li> <li>• Confidence in TFM</li> <li>• Consumer Orientation</li> <li>• Evaluation</li> </ul> | <ul style="list-style-type: none"> <li>• Work of the Teaching Parent</li> <li>• Agency</li> <li>• Youth</li> <li>• Admissions</li> <li>• Inter-Agency Cooperation</li> <li>• Evaluation/ Monitors</li> </ul> |





### Organizational Structures and Processes Within an Evidence-Based Practice

*Teresa Nesman*

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#### Conclusions:

- Presence of all organizational factors and facilitators in each TFA organization
- High level of integration between structures and processes across sites (statements incorporate both)
- Exceptions to high reliability in coding vs. high importance and effectiveness ratings suggest the need for further clarification of some factors
- TFA theory of change elements found in statements and clusters across sites
- Analysis of concept maps will illustrate implementation of TFA within different organizational structures