




“Right” from the Start: Implementing SOC

New SOC Meeting RTC 2006

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System of Care

A comprehensive spectrum of necessary services that are organized into a coordinated network to meet the multiple and changing needs of children and their families.

(Stroul & Friedman, 1986)



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Core Values

- ▶ **Child centered and family focused** – strengths and needs dictate the mix of services
- ▶ **Community-based** - locus of services and decision-making responsibility
- ▶ **Culturally competent** - positively responsive to racial, ethnic, and cultural groups in the communities served




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The Problem

"... the mental health delivery system is fragmented and in disarray ... lead[ing] to unnecessary and costly disability, homelessness, school failure and incarceration."

New Freedom Commission on Mental Health, 2003




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SOC Analysis

- ▶ **Three early cohorts of System of Care grant communities (45 initially funded in 1997 – 1999)**
- ▶ **Secondary analysis of information collected by ORC-Macro in their National Evaluation and by federal site visitors (and interviews)**
- ▶ **Identify the facilitators and barriers to SOC implementation**




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SOC Analysis

- ▶ **Assessed SOC development within five domains**
 - ▶ **Planning and Implementation Processes** (e.g. clear goals, theory of change)
 - ▶ **Governance** (e.g. advocacy)
 - ▶ **Management** (e.g. data systems)
 - ▶ **Service System Processes and Characteristics** (e.g. collaboration)
 - ▶ **Service Delivery Characteristics and Components** (e.g. CC, individualized)



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General Findings

- ▶ Grant Communities were more successful in making changes at the service delivery level than in making systems changes
- ▶ Nearly all GCs reported it took a full five years to begin to implement a SOC and that they probably needed another five years to fully implement and institutionalize the changes

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SOC Development

The diagram illustrates the process of SOC Development. It features three blue curved arrows forming a circle. The top arrow is labeled "Initiate & Manage System Change", the right arrow is labeled "Implement Innovations", and the bottom arrow is labeled "Sustainable Infrastructure".

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Initiate & manage change

- ▶ Cannot change a whole system at one time
- ▶ Manage the old while creating the new
- ▶ Retain the best (of the old) while changing the rest
- ▶ Reduce impact of mistakes (minimize damage, increase flexibility, repair rapidly)

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Policy - Practice - Feedback

The diagram shows the Policy - Practice - Feedback cycle. On the left, a vertical double-headed arrow connects "SOC Policy (Plan)" at the top to "Practice (Do)" at the bottom. The left side of the arrow is labeled "Feedback" and the right side is labeled "Study - Act". On the right, a vertical sequence of elements is connected by double-headed arrows: "SOC" at the top, followed by "Structure", "Consumer Benefits", "Procedure", and "Practice" at the bottom. Below this sequence, the text "Form follows Function" is written.

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Stages of Implementation

Implementation occurs in stages (SOC+):

- ▶ Exploration
- ▶ Installation
- ▶ Initial Implementation
- ▶ Full Implementation
- ▶ Innovation
- ▶ Sustainability

A bracket on the right side of the list groups the first four stages (Exploration, Installation, Initial Implementation, and Full Implementation) and is labeled "2 - 4 Years".

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

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Wexelblatt's Scheduling Algorithm

The diagram shows a triangle with three vertices. The top-left vertex is labeled "CHEAP", the top-right vertex is labeled "FAST", and the bottom vertex is labeled "GOOD".

When developing a program you may pick any two.


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Implementation

- The act of accomplishing some aim or executing some order
- To put into practical effect; carry out
- Pursue to a conclusion

– Dictionary.com

A lot of hard work!




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Human Service Systems

“Systems trump programs.”

Patrick McCarthy
Annie E. Casey Foundation

SOC development requires work at the systems levels



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Implementation of SOC

- Change the behavior of adult human service professionals
 - Change organizational structures, cultures, and climates
 - Change the thinking of system directors and policy makers

Successful and sustainable implementation of SOCs *always* requires organizational and systems change



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Consumer Outcomes

Effective system of care practices

+

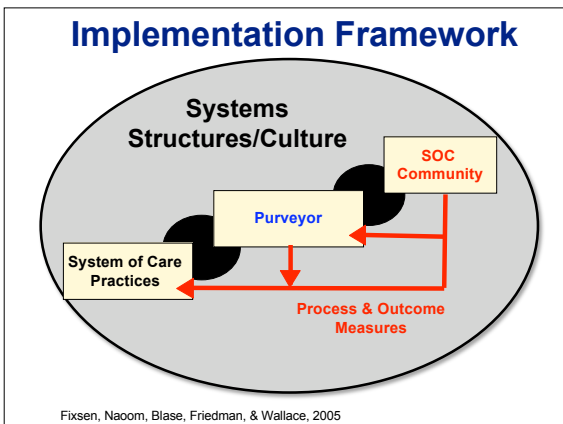
Effective implementation practices

=

Good outcomes for consumers




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SOC: The Source

Core components of a SOC

- Clearly described (what/how)
- Practical measure of fidelity
- Fully operationalized (do/say)
 - Pires, S. (2002). *Building systems of care: A primer*. Washington, DC: Georgetown University Child Development Center.
- Field tested (iterative revision)
- Contextualized (org./systems fit)



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Community: The Destination

- Defined Need
- Identified Resources
- Fully informed re: innovation and implementation
- Top level commitment to change and continuing access to leaders



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Community: The Destination



- Practitioners impact consumers
- It is the job of governance, directors, managers, and funders to align policies and structures to facilitate effective practitioner practices
- There is no such thing as an “administrative decision” – they are all treatment decisions



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Active Purveyor Role

Simultaneous, Multi-Level Interventions





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Purveyor

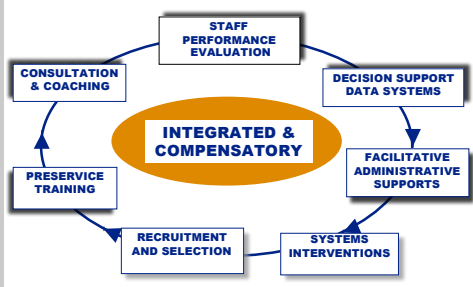

There is no active purveyor of SOC

- Technical Assistance is available via SAMHSA contracts
- SOC communities have to develop implementation knowledge and skills at the same time they engage in implementation practices re: SOC and innovative interventions



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Implementation Drivers


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Start Up

- Others wrote the grant and got it funded then turned it over to us – we had to learn what a SOC was as we tried to get one started!
- We did not know what we did not know so how could we ask for help!?
- Who was there to guide us from the beginning? No one!




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Start Up

- ▶ Best start up help we got was to visit a mature SOC site – see it, get materials, access to advice
- ▶ We did our own survey of the field and selected consultants to help us accomplish our goals
- ▶ Attend SOC meetings to compare notes with others in the same predicament




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Start Up Advice

- ▶ Work to achieve buy in (never ends)
 - ▶ Precontemplation to action stages
- ▶ Work with the willing to start
- ▶ Have values and philosophy come alive in every discussion and interaction with anyone and everyone (persistence!)
 - ▶ Point out good examples
 - ▶ Point out activities and beliefs that do not fit well – pursue changes to improve fit
- ▶ Organize and strengthen family voice
 - ▶ What is the plural of anecdote?



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Staff Selection

- ▶ Difficult to find qualified staff to work for MH salaries
- ▶ Difficult to find staff to match the diverse racial, ethnic, and cultural backgrounds of families
- ▶ Recruited leaders and staff from other SOC sites who knew what they were doing
- ▶ Not much attention to this component




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Staff Selection Advice

- ▶ Develop an interview protocol that can be evaluated and improved over time
- ▶ Experience in cross system jobs, volunteer and community groups
- ▶ Questions and vignettes to assess philosophy, values, and personal style
- ▶ Role play scenes to assess judgment, respect for others, ability to give and take constructive feedback




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Staff Training

- ▶ Initially contracted for what we needed then learned to do it ourselves
- ▶ Do cross training to make sure practitioners satisfy the legal and regulatory demands of each system (SOC supplements, not supplants)




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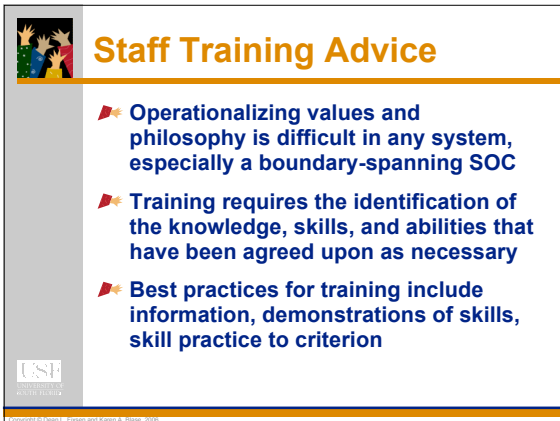


Staff Training

- ▶ Training seemed more information sharing and less skill building
- ▶ EBP philosophy was the opposite of the SOC's – SOC focused more broadly and over longer periods – had to change the EBP “solo approach” to orient it to the SOC collaborative culture



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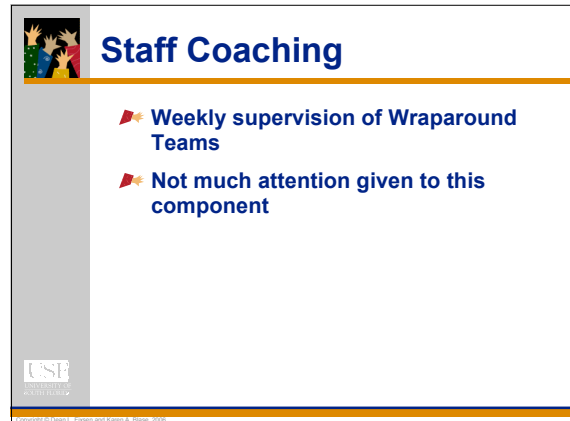


Staff Training Advice

- Operationalizing values and philosophy is difficult in any system, especially a boundary-spanning SOC
- Training requires the identification of the knowledge, skills, and abilities that have been agreed upon as necessary
- Best practices for training include information, demonstrations of skills, skill practice to criterion

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Staff Coaching

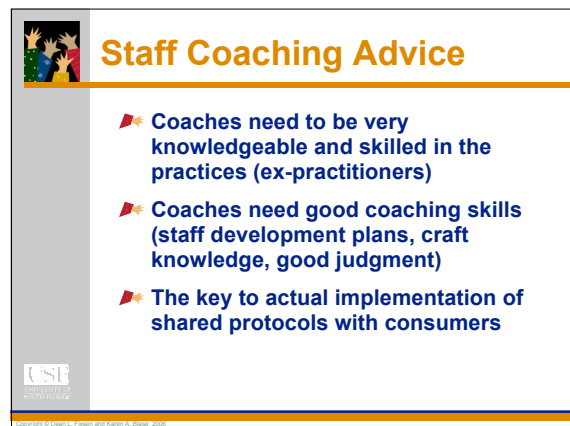
- Weekly supervision of Wraparound Teams
- Not much attention given to this component

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TRAINING COMPONENTS	OUTCOMES (% of Participants who Demonstrate Knowledge, Demonstrate new Skills in a Training Setting, and Use new Skills in the Classroom)		
	Knowledge	Skill Demonstration	Use in the Classroom
Theory and Discussion	10%	5%	0%
...+Demonstration in Training	30%	20%	0%
...+ Practice & Feedback in Training	60%	60%	5%
...+ Coaching in Classroom	95%	95%	95%

Joyce and Showers, 2002

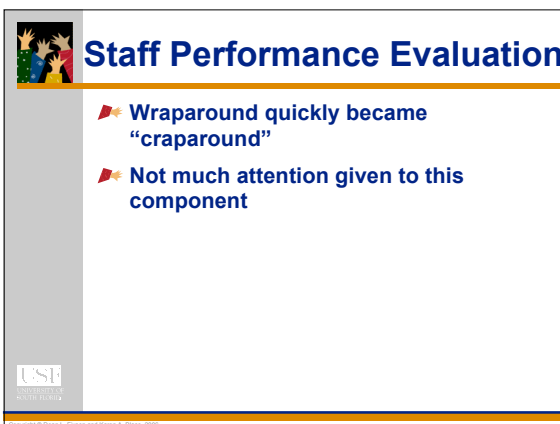


Staff Coaching Advice

- Coaches need to be very knowledgeable and skilled in the practices (ex-practitioners)
- Coaches need good coaching skills (staff development plans, craft knowledge, good judgment)
- The key to actual implementation of shared protocols with consumers

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Staff Performance Evaluation

- Wraparound quickly became "craparound"
- Not much attention given to this component

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Staff Performance Advice

- A critical part of assuring the use of shared protocols and agreed upon methods across systems
- Feedback at the practitioner level is essential to integrating services across agencies
- Feedback at the practitioner level is essential to making improvements over time


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Decision Support Data System

- ▶ Some use of family satisfaction surveys to inform decision making
- ▶ Mostly temporary reliance upon Macro national evaluation and grant-related evaluators
- ▶ No already established models / methods that can be readily adopted for use in a SOC
- ▶ Not much attention given to this component




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Decision Support Data Advice

- ▶ Need real time information that is regularly shared and analyzed to determine both successes and problems
- ▶ We may not like our results but at least we know what they are and can make changes until they improve
- ▶ Leadership is key – committees that examine issues at the front line and proactively respond to trends / issues
- ▶ Decision-guidance system – approximations to the SOC goals



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Fac Adm: Governance

- ▶ Stable representation of different stakeholder interests
- ▶ Established trust and top leadership support that permeated all levels of participating organizations
- ▶ Issues are lack of clarity, inertia, and lack of perceived sustainability – the grant is to be endured then we can go back to business as usual
- ▶ Turnover is a big issue – be ready



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Governance Advice

- ▶ Build on the existing CASSP group or other well functioning collaboration
- ▶ Have parents as partners at every step along the way – create a platform for their powerful voice and influence
- ▶ Create a specific implementation team (representing all service sectors) to make sure recommendations and policies are actually used – develop common protocols and shared staffing




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System Intervention

- ▶ In 6 years there were 2 governors, 3 MH commissioners, 5 regional MH directors, 3 commissioners of education, and 2 or 3 changes in state CW, DD, etc. leaders – 3 months after the grant began no one who had signed a support letter was still there
- ▶ No qualified Indian clinicians so started a new SW program at a nearby college
- ▶ Difficult to get schools involved – SOC kids are a small part of their responsibilities




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System Intervention


- ▶ Got the governor involved to mandate cooperation among systems
- ▶ Included a Medicaid person on the implementation team to personalize the issues faced by misalignment
- ▶ Advocate for changes in other agencies and systems (infuse values, develop shared methods)



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System Intervention


- ▶ Incompatible expectations (e.g. state, local or regional Mental Health Authority, schools, parents, Juvenile Justice, Medicaid)
- ▶ Process contradictions
 - ▶ Treatment plans that are parent friendly vs. professional, accreditation, and Medicaid oriented
- ▶ Disagreements about the role of parents in the various systems



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System Intervention


- ▶ Dependence on others who lack the same sense of urgency
- ▶ Differences in opinion on leadership and proper organizational roles (and interorganizational communication)
- ▶ Legal and procedural differences
- ▶ Agreement coupled with lack of power



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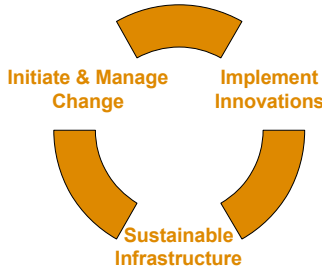

System Intervention Advice

- ▶ Vertically and horizontally expand the reach and influence of the SOC collaborators and supporters over time
- ▶ Teach / exemplify SOC values
 - ▶ Every interaction is a job interview
- ▶ Work to align systems to support the new work of SOC practitioners, coaches, and managers



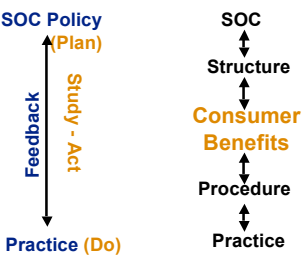
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SOC Development





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Policy - Practice - Feedback

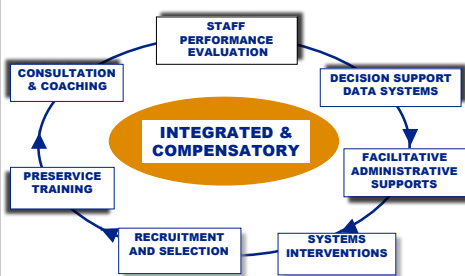



Form follows Function




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Implementation Drivers





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Sustainable Infrastructure

- Plan – Do – Study - Act
- Be an echo-holic
 - Become addicted to feedback and assessments of results




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Sustainable Infrastructure

- The feedback loop enables the learning process
- The feedback loop provides a trusted guidance system
 - Approximations to the overall goals of the system at each level
 - Prompts action in the plan – do – study – act – cycle




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Sustainable Infrastructure

- Measure benefits to consumers and society, don't assume them
- Too many conflicting variables to assume that high fidelity implementation will automatically result in significant consumer benefits
 - Level of Functioning system in Michigan's Children's MH




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Summary

- Consumer/family voice and choice are important parts of the development and evaluation of any SOC.
- Implementation of a SOC requires organizational and systems changes
- New practices and programs need to be implemented and used effectively.
- SOCs are no panacea. They are a lot of hard work to implement and maintain



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For More Information

The SOC rating scales and results from the analysis of one cohort can be downloaded at:

<http://nirn.fmhi.usf.edu/resources/publications/soc.pdf>

Other detailed information re: the implementation drivers can be found on the National Implementation Research Network website:

<http://nirn.fmhi.usf.edu>



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For More Information

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Download the implementation monograph at:

<http://nirn.fmhi.usf.edu/resources/publications/Monograph/index.cfm>



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