Transformation Facilitation: Developing and Evaluating a Model For Intensive TA For States

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Overview and Purpose

• Description of Transformation Facilitation initiative
• Overview of evaluation approach
• Preliminary results
• Challenges in evaluating intensive TA
• Feedback

Vision

Supporting leaders in states and territories to achieve transformation of their mental health care systems for children and their families

TF Background

• Unique model that encompasses a variety of approaches (coaching, TA, knowledge application (2005))
• Individualized approach to supporting leaders in states and territories in their transformation processes
• Response to CYF Division request for ongoing, intensive support
• Partnership between Georgetown, National Association of State Mental Health Program Directors, and United Advocates for Children of California

Overview of TF

• TF faculty team assigned to each state and territory
• Entrée to state through the state director of children’s mental health
• Individual, peer, and expert components
• Multiple modes of communication
Overview of TF

- Management team supports internal operations
  - Protocols developed for first three calls
  - Tools developed to support process
- Monthly meeting of TF providers to provide on-going training and support and to identify common challenge areas
- Evaluation component

Family Involvement in TF

- United Advocates for Children of California (the Statewide Family Network Technical Assistance Center)
- Membership on the TF Team
- Active participation and input via TF Monthly meetings

States/Territory involved in TF

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<thead>
<tr>
<th>STATE/TERRITORY</th>
<th>TF LEAD</th>
<th>TF PARTNER</th>
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<tr>
<td>America Samoa</td>
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Role of TF Team

- Assess and identify
- Help create an action plan and timeline
- Facilitate strategic thinking about leader’s activities and linkage to outcomes (assess risk, leverage opportunities, explore partnerships)
- Provide process and content expertise
- Continually assess change
- Link to TA offerings & peer opportunities, and content TA
- Support ongoing evaluation of efforts

Characteristics of TF

- Planful, relationship based, accountable, journey
- Strategic
- Flexible
- Intensive
- Individualized
- Enhancing the knowledge and skills

TF Hats

- Facilitator
- Coach
- Mediator
- Connector
- Technical Assistance Provider
- Broker
TF Individual Work

- Phase 1: Orientation and overview
- Phase 2: Information gathering
- Phase 3: Identifying and prioritizing challenge areas
- Phase 4: Strategizing and doing the work

State Issue Areas

- Ensuring forward momentum and progress in transformation in a constantly changing political environment
- Obtaining meaningful family and provider engagement in the implementation of an outcomes- and data-driven mental health system
- Transforming public mental health services, without new $$, using cross agency workforce development strategies

State Issue Areas

- Determining role in developing a strong family network, identifying key activities, and engaging families in the work
- Engaging and empowering child and family teams as the primary determinants of services
- Overcoming resistance and difficulty in moving the mental health field toward a public health model

TF Evaluation

(Even if you can get a pig to fly, it doesn’t count if you don’t measure it.)

Evaluation Activities

- Pre-Project
- Start-up
- Implementation and Project Modification
- Maintenance and Sustainability
- Replication and Policy

Evaluation Components

1. Process/Outputs
2. Utility and satisfaction
3. Impact

Preliminary Results

Process/Outputs Objectives

Characteristics of TF states
- To describe the TF sample

Implementation
- To describe project and reasons for deviations
- To document challenges and successes in implementation
- To monitor the extent of TA provided

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States/Territory monthly contacts

<table>
<thead>
<tr>
<th>STATE/TERRITORY</th>
<th>Number of contacts</th>
<th>Estimated number of hrs</th>
<th>Number of people</th>
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<tr>
<td>State/Territory A</td>
<td>11</td>
<td>16</td>
<td>2-4</td>
</tr>
<tr>
<td>State/Territory B</td>
<td>12</td>
<td>18</td>
<td>1-4</td>
</tr>
<tr>
<td>State/Territory C</td>
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<td>13</td>
<td>1-7</td>
</tr>
<tr>
<td>State/Territory D</td>
<td>9</td>
<td>12.5</td>
<td>1</td>
</tr>
<tr>
<td>State/Territory E</td>
<td>3</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>State/Territory F</td>
<td>10</td>
<td>12</td>
<td>2</td>
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<tr>
<td>State/Territory G</td>
<td>7</td>
<td>8.5</td>
<td>1-2</td>
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<tr>
<td>State/Territory H</td>
<td>12</td>
<td>15</td>
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<td>16</td>
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<tr>
<td>State/Territory K</td>
<td>6</td>
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<td>2</td>
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<tr>
<td>AVERAGE</td>
<td>9.5</td>
<td>13.2</td>
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Process Implementation issues

- Determining readiness
- Developing the relationship
- Doing the work
- Handling transitions and continuity
Determining Readiness

- Readiness factor in the state or territory is critical [TF]
- Early on, I was disappointed but now I see it as an opportunity to collect thoughts, get feedback, logic model, supervisory experience [CD]
- TF gives me credibility - I’m one of 10 states involved in this national effort [CD]

Developing the relationship

- Most important aspect of TF: Having an outside mentor/consultant who didn’t have a preconceived agenda about where I needed to be or should be going has been wonderful [CD]
- How you start is the lesson learned. TF is very much a relationship-based journey - very different from an expert model [TF]
- Start where your client is [TF]

Doing the work

- Most important aspect of TF: Having someone to discuss and brainstorm that had no other competing agenda than to do just that. [CD]
- Have to be ready for chaos - the more you do it, the more that you begin to recognize it and know how to step back. [TF]
- The national perspective has helped - can use it to leverage the voice for kid’s agenda. [CD]
- Individual vs. team approach

Handling transition and continuity

- Changes in States and CDs
- Internal politics has a lot to do with how the process works [TF]
- Have to be ready for chaos - the more you do it, the more you begin to recognize it and know how to step back. [TF]

Utility and Satisfaction

Usefulness – How useful is TF?

Satisfaction - How satisfied are CDs with the quality of TF?

Utility and Satisfaction: Peer Retreat Evaluation Results
Impact/Outcome Objectives: Individual

**Short-term outcomes:**
- Increase in knowledge, skills, and attitudes
- Increase in leadership development
- Increase in support
- Increase in knowledge of resources and consultants
- Increase in peer sharing

**Intermediate outcomes:**
- Identifies deficits and transforms system structure and processes

**Long-term outcomes:**
- Individual’s goals for system reform are realized
- Children and families get the services they need
- Children and families live, work, and play in their communities

Impact/Outcome Objectives: System

**Short-term outcomes:**
- States are aware of available resources

**Intermediate outcomes:**
- Local supports are developed
- Links across federal grants and activities

**Long-term outcomes:**
- Affect the national transformation agenda for children’s mental health

Impact/Outcome Objectives: National TA Center

**Short-term outcomes:**
- Ability to identify new resources
- Increase in knowledge of states
- Increase in family involvement
- Increased awareness and knowledge of role as an agent of change
- Adopted new knowledge to lead change
- Implemented policies to support system transformation

**Intermediate outcomes:**
- Increase in Center’s ability to be more strategic in planning TA
- CD baseline survey
- TF baseline survey
- Peer to peer retreat evaluation form
- TF contact logs & progress notes
- CD priority area log
- 1 year follow-up survey & key informant interview with CDs
- Yearly CD and TF follow-up survey

Impact/Outcome Objectives: Data Collection Instruments

**Knowledge Increase**

**Leadership Development**

**Baseline survey question:** Support leadership development
- Mean = 3.4 (4 point scale)

**Follow-up survey questions will examine specific pieces of leadership development:**
- Increased awareness and knowledge of role as an agent of change
- Adopted new knowledge to lead change
- Implemented policies to support system transformation
Impact/Outcomes:

**Peer Sharing**

- Baseline survey question: Assist with the facilitation of collaborative alliances
  - Mean = 2.7 (4 point scale)

**Support**

- Challenges
  - Methodological
  - Contextual factors affecting results

**Next Steps**

- Implementation and Project Modification
  - Development of follow-up survey
  - Continued review of process data about successes and challenges to modify project
  - Collect and use short-term outcome data to refine project
  - Share short-term findings with stakeholders

**Further down the road**

- Maintenance and Replication
  - Continue to use evaluation to improve the project and to monitor outcomes
  - Assess long-term impact and implementation lessons
  - Share findings with stakeholders
  - Determine critical elements of the project which are necessary for success

**Gathering Feedback**

- What experience or ideas do you have about evaluating this model?
Appendix: Orientation to the Framework of Transformation

Defining Transformation

transformation \(\text{(15c)}\) From the Latin roots to change TRANS (across) and FORMA (shape)

1. a change in form, appearance, nature or character
2. the process of doing so

The New Freedom Commission described transformation as a vision, a process, and an outcome.

Defining Transformation

- A continuous and complex process
- New behaviors, new competencies
- New sources of power
- New partners
- Profound changes in structure, culture, policy and programs
- Will not happen over night

Transformation as a Strategy for Innovation

- A series of Many Exploratory Medium Jumps
  Pushing the boundaries of core competencies, trying to create something new within the existing paradigm.
- A Few Big Jumps
  New rule sets that leverage new ideas.
Setting the Context for TF: Additional resources

Change theory & framework
- Tools for change
- Dynamics of change
- Leadership skills

The Goals of a Transformation System

Goal 1 Americans understand that mental health is essential to overall health
Goal 2 Mental health care is consumer and family driven
Goal 3 Disparities in mental health services are eliminated
Goal 4 Early mental health screening, assessment, and referral to services are common practice
Goal 5 Excellent mental health care is delivered and research is accelerated
Goal 6 Technology is used to access mental health care and information

Values and Principles for the System of Care

- Comprehensive array of services
- Individualized services
- Least restrictive, most normative environment that is clinically appropriate
- Families and surrogate families of children are full participants in all aspects
- Integrated services with linkages
- Case management

Values and Principles for the System of Care

- Early identification and intervention for children
- Smooth transitions to the adult services system
- Protected rights of children
- Services sensitive and responsive to cultural differences and special needs.

Change Theory & Framework

- SOC is a Theory of Change
- SAMHSA broadens the vision of change