



Implementation and Scale-up of Effective Community Corrections Strategies

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UNC





FPG CHILD DEVELOPMENT INSTITUTE

Scaling up Effectiveness





We want to:

-  Make wide-scale use of effective community corrections strategies...
-  To produce increasingly effective outcomes for offenders and community members...
-  For the next 50 years.

Four Major Issues

- 
Understand the critical elements of the effective community corrections strategies so that the desired outcomes will be achieved
- 
Implement the effective community corrections strategies so they produce the intended benefits to offenders and community members
- 
Scale up effective community corrections strategies so they impact all individuals who could benefit from them
- 
Align system structures and functions to fully support scale up efforts as part of “community corrections as usual”

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Effective Correctional Strategies

For change to occur, someone needs to do something differently.





Who needs to do what differently?

- Does this change require new knowledge?**
- Does this change require new attitudes?**
- Does this change require new skills?**
- Does this change require professional courage?**
- Does this change require developing new partnerships?**
- Does this change require political support / political will?**

Strategy: the Critical Elements

From what current state to what future state?

 The “it” must be **operationalized** whether it is:

-  An Evidence-Based Practice or Program
-  A Process
-  A Broad Systems Change Initiative
-  A Policy

Operationalize

Part of Speech: *verb* **Definition:** *to define a concept or variable so that it can be measured or expressed quantitatively*

Webster's New Millennium™ Dictionary of English, Preview Edition (v 0.9.7)
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Implementation Science

A Quick Review

 What we have learned from the research and from the practice

 What doesn't work

 What works






From the Synthesis of the Literature We Know That...

- **Implementation issues are common across widely diverse domains**
 - **Human service prevention and intervention (e.g. child welfare, substance abuse, mental health, violence prevention, education)**
 - **Advanced manufacturing technologies**
 - **Research-based clinical guidelines**
 - **Engineering (e.g. bridge maintenance)**
 - **Hotel management**
 - **National franchise operations**
 - **Cancer prevention and treatment**



Implementation Science

Data Show These Methods, *When Used Alone*, Do Not Result In Implementation As Intended:

-  **Diffusion/ Dissemination of information**
-  **Training**
-  **Passing laws/ mandates/ regulations**
-  **Providing funding/ incentives**
-  **Organization change/ reorganization**

Fixsen, Naoom, Blase, Friedman, Wallace, 2005

Implementation Science





IMPLEMENTATION

		IMPLEMENTATION	
		Effective	NOT Effective
INTERVENTION	Effective	Desired Outcomes	Poor Outcomes
	NOT Effective	<i>Highly variable, often ineffective, sometimes harmful to offenders</i>	

(Institute of Medicine, 2000; 2001; New Freedom Commission on Mental Health, 2003; National Commission on Excellence in Education, 1983; Department of Health and Human Services, 1999)

Implementation Science

Successful implementation on a useful scale requires. . .

-  Purposeful matching of critical implementation activities to the stage of the process – “STAGES OF IMPLEMENTATION”
-  Active use of implementation core components “best practices” – “IMPLEMENTATION DRIVERS”
-  Content experts with implementation/ replication experience - “PURVEYORS”
-  Designated “Local” and “Regional” teams with the knowledge, skill, freedom, and authority to act – “IMPLEMENTATION TEAMS”

Implementation Science

 **Successful implementation on a useful scale requires. . .**

 **“STAGES OF IMPLEMENTATION”**

 **“IMPLEMENTATION DRIVERS”**

 **“PURVEYORS”**

 **“IMPLEMENTATION TEAMS”**

Stages of Implementation

Major Implementation Initiatives occur in stages:




- Exploration and Sustainability
- Installation and Sustainability
- Initial Implementation and Sustainability
- Full Implementation and Sustainability

**2 – 4
Years**

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

Exploration

Goals:


-  Examine degree to which the Evidence Based Practice, best practice, systems change meets the needs in the settings identified
-  Determine whether moving ahead with the initiative and implementation is desirable and feasible
-  Create readiness for change at many levels

“Pay now or pay later.”



Sustainability

Goals:

Financial:

-  Ensure funding streams for desired change and necessary infrastructure

Programmatic:

-  Ensure high fidelity and positive outcomes through infrastructure improvement and maintenance
-  Plan for turnover

“The only thing harder than getting there is staying there.”

Exploration & Sustainability

CREATE READINESS






What happens during **Exploration**?

- Form “Exploration Workgroup”
- Analyze data related to “needs”
- Identify options and assess feasibility
- Reassess, revise, prioritize, re-scope
- Formalize structures

Creating Readiness for Change

Individual readiness for change

Transtheoretical Model or ***Stages of Change***

-  Precontemplation
-  Contemplation
-  Preparation
-  Action
-  Maintenance

Prochaska and DiClemente

Creating Readiness for Change

Stage of Change for Pre-Action
Individuals:

Precontemplation – 40%

Contemplation – 40%

Preparation – 20%

“If only 20% of employees in organizations
are prepared to take action. . . .”

Janice M. Prochaska, James O. Prochaska, and Deborah A.
Levesque (2001)

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Installation

 Goal:

 **To make the structural and instrumental changes necessary to initiate services**

“If you build it, they will come” . . . but you actually have to built it!

Initial Implementation

 Goals:

 **Survive the awkward stage!**

 **Learn from mistakes**






 **Continue “buy-in” efforts**

 **Manage expectations**

“Anything worth doing...is worth doing poorly.”

Full Implementation

Goals:

-  **Maintaining** and **improving** skills and activities throughout the system
-  Components integrated, fully functioning
-  Skillful practices by front line staff, supervisors, administrators
-  Changes in policy that are reflected in practice at all levels
-  Ready to be evaluated for expected outcomes

“The only thing worse than failing and not knowing why you failed, is succeeding and not knowing why you succeeded.”

~ Jane Timmons-Mitchell

Stages of Implementation

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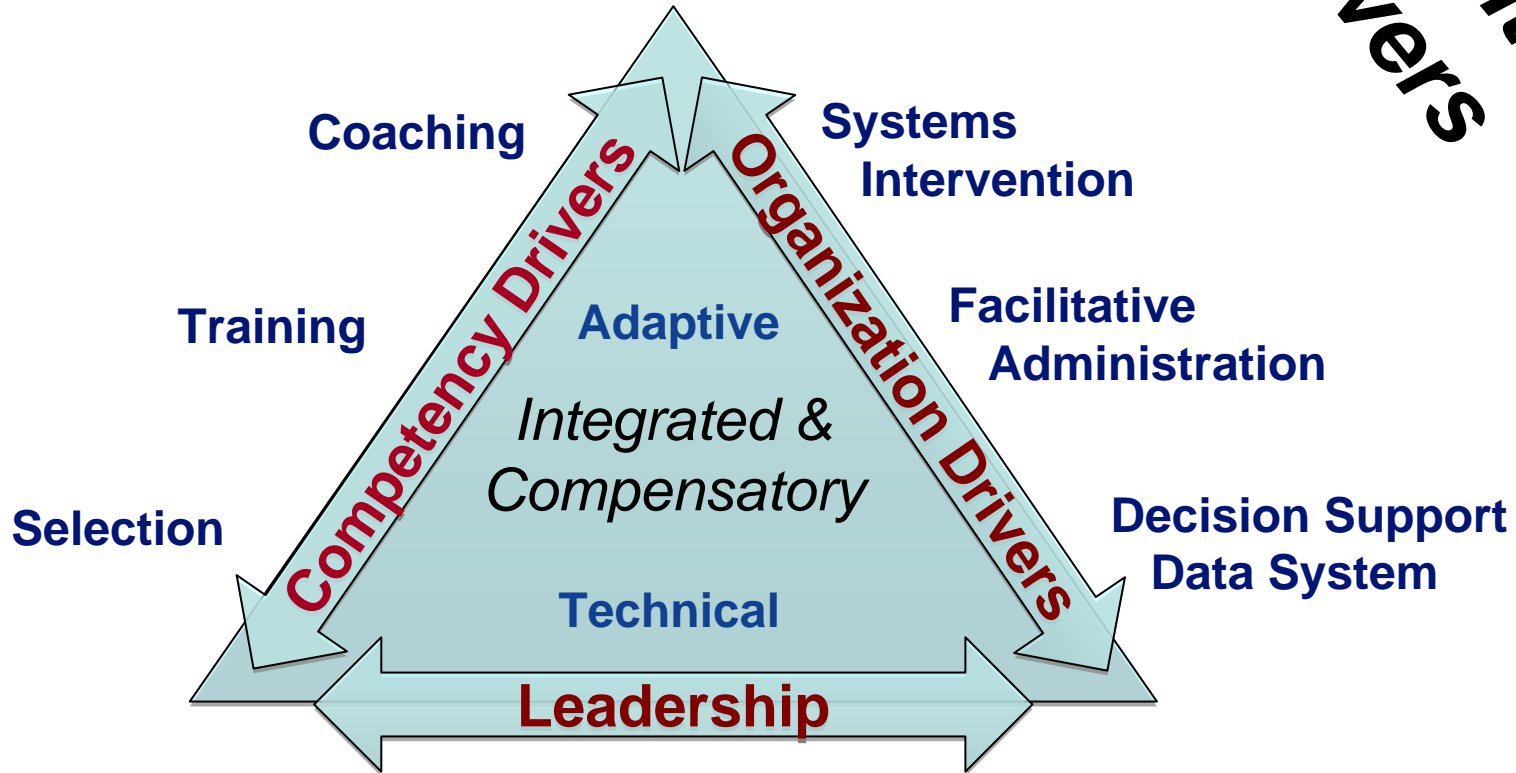
 **“IMPLEMENTATION TEAMS”**

Improved outcomes for offenders



Performance Assessment

Implementation Drivers

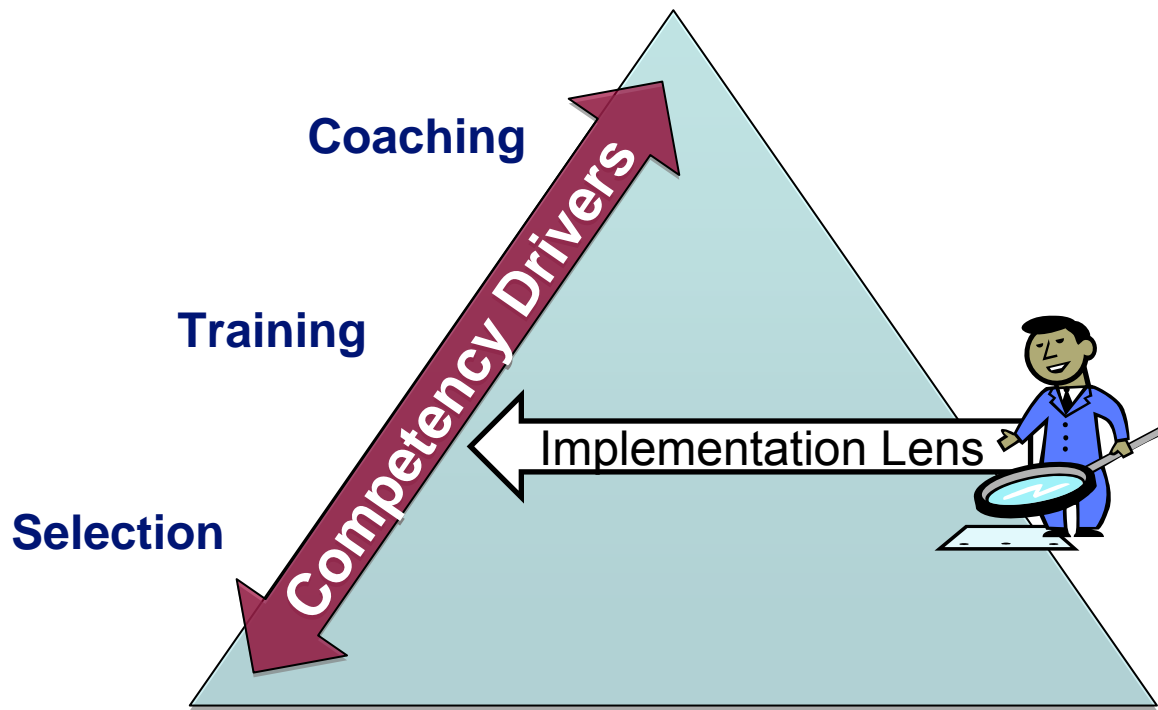


**Improved outcomes for
offenders**









Performance Assessment

**Implementation
Drivers**



Selection

Purposes:

-  **Select for the “unteachables”**
-  **Screen for pre-requisites**
-  **Set expectations**
-  **Allow for mutual selection**
-  **Improve likelihood of retention after “investment”**
-  **Improve likelihood that training, coaching, and supervision will result in implementation**

Training

Purposes:

 **“Buy-in”**

 **Knowledge acquisition**

 **Skill Development**






Training and Coaching

	OUTCOMES		
	% of Participants who Demonstrate Knowledge, Demonstrate New Skills in a Training Setting, and Use new Skills in the Classroom		
TRAINING COMPONENTS	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









Coaching

Purposes:

-  **Ensures implementation**
-  **Develops clinical and practice judgment**
-  **Ensures fidelity**
-  **Provides feedback to selection and training processes**
-  **Grounded in “Best Practices”**

Performance Assessment

Purposes:

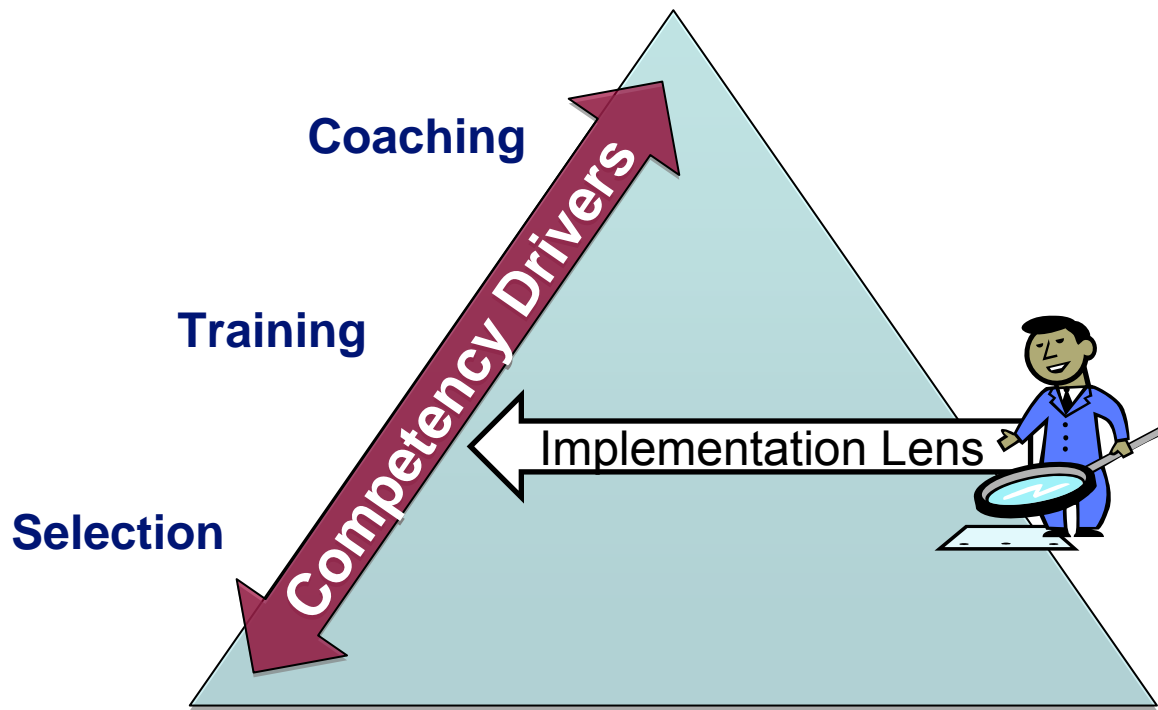
-  **Measure fidelity**
-  **Ensure implementation**
-  **Reinforce staff and build on strengths**
-  **Feedback to agency on functioning of**
 -  **Recruitment and Selection Practices**
 -  **Training Programs (pre and in-service)**
 -  **Supervision and Coaching Systems**
 -  **Interpretation of Outcome Data**

**Improved outcomes for
offenders**



Performance Assessment

**Implementation
Drivers**



Sobering Observations

"All organizations [and systems] are designed, intentionally or unwittingly, to achieve precisely the results they get."

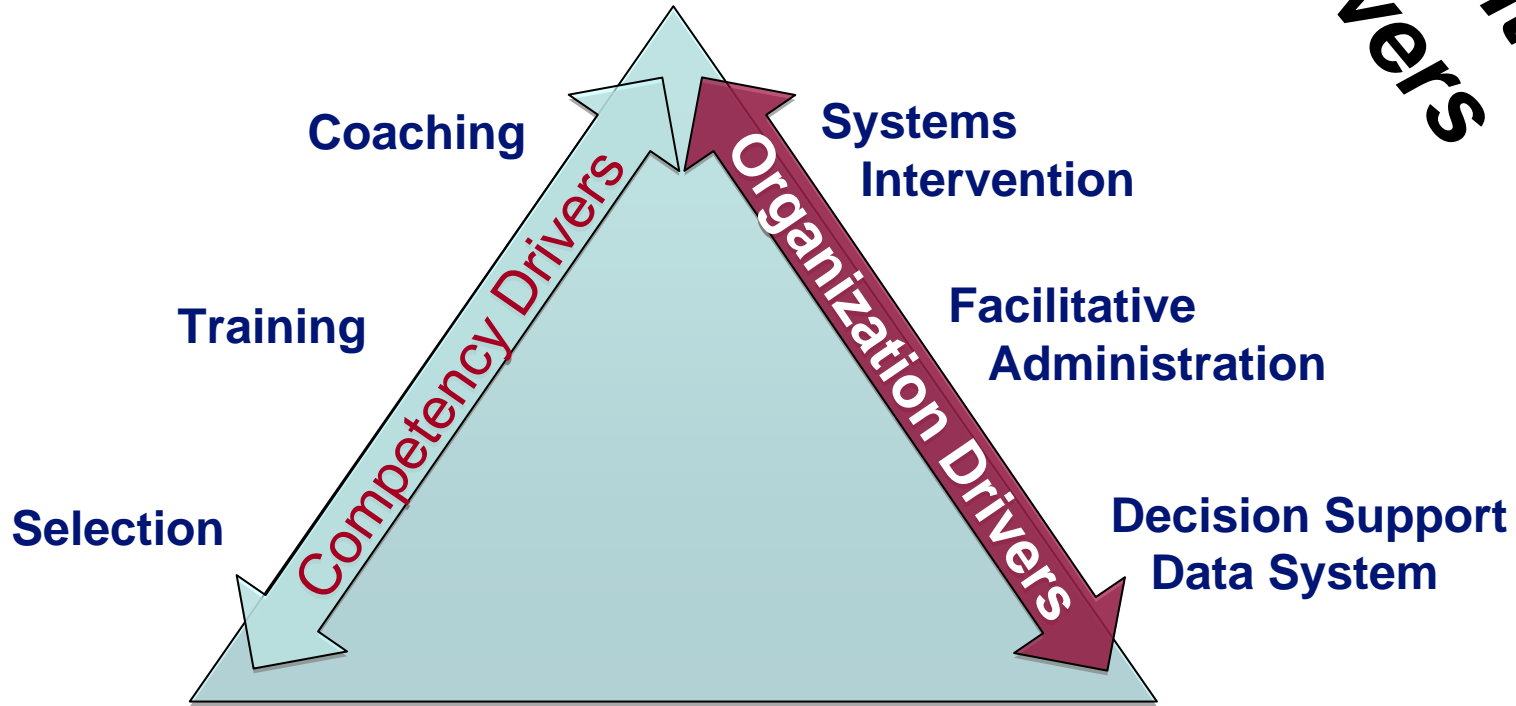
**R. Spencer Darling
Business Expert**

Improved outcomes for offenders











Performance Assessment

Implementation Drivers



Decision Support Data System

Purposes:

-  To make a difference for students
-  Provide information to assess effectiveness of educational practices
-  Analyze the relationship of fidelity to outcomes
-  To guide further program development
-  Engage in continuous quality improvement
 -  Interaction with Core Implementation Components
-  Celebrate success
-  Be accountable to consumers and funders

Facilitative Administration

Purposes:

- **Facilitates installation and implementation of the Drivers**
- **Aligns policies and procedures**
- **Takes the lead on Systems Interventions**
- **Looks for ways to make work of teachers and supervisors easier!!**

Systems Intervention

Purposes:

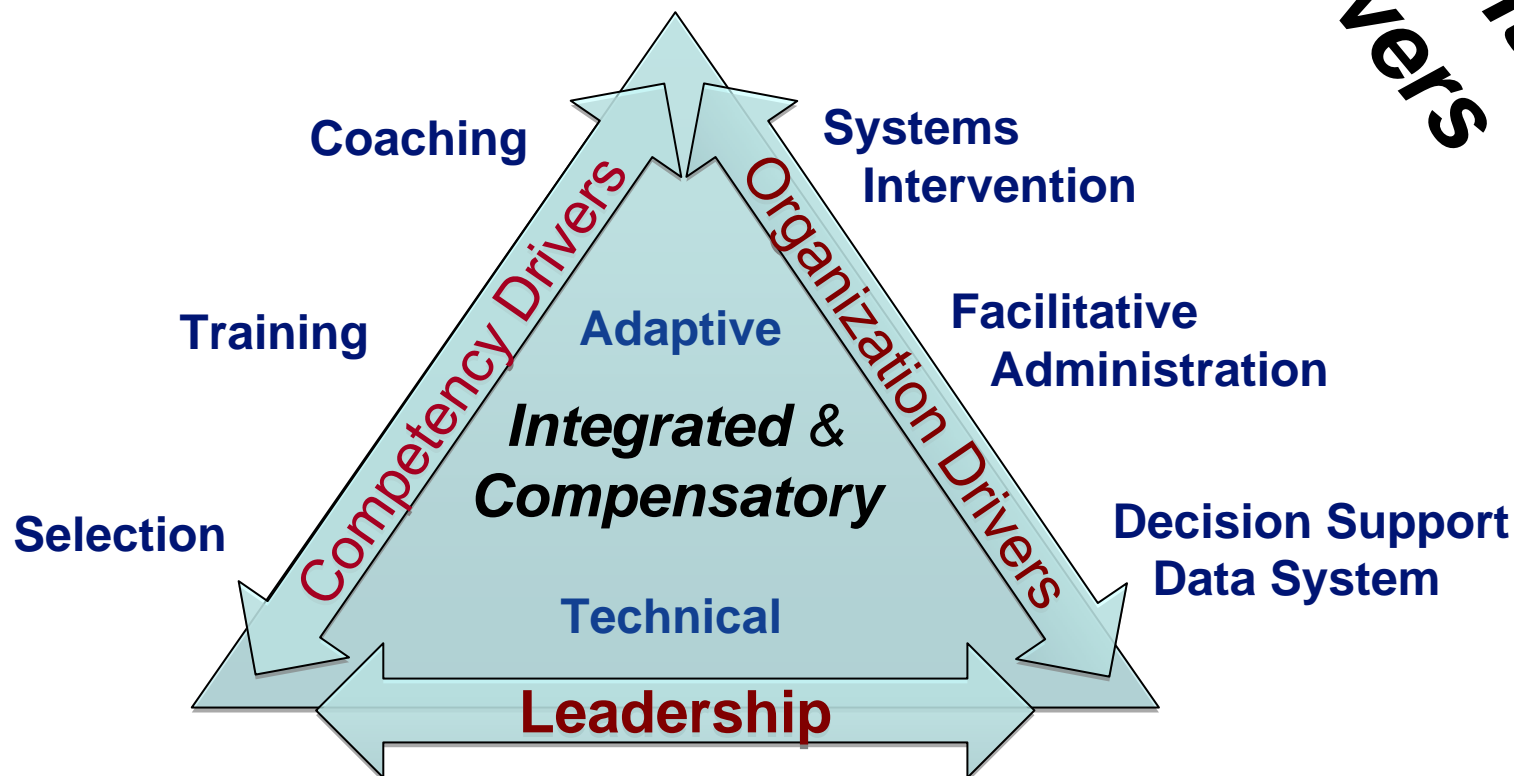
- **Identify barriers and facilitators for the new way of work**
- **Create an externally and internally “hospitable” environment for the new way of work**
- **Contribute to cumulative learning in multi-site projects.**

Improved outcomes for offenders




Performance Assessment

Implementation Drivers



Integrated and Compensatory Implementation Drivers

Integrated

-  **Consistency in philosophy, goals, knowledge and skills across these processes (S/T/C/SE/DSDS/FA/SI)**

Compensatory

-  **At the practitioner level**
-  **At the program level**

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Scaling Up

- New practices do not fare well in existing organization and systems structures
- Organization and system changes are essential to successful implementation of effective practices and policies
- Scaling up the desired outcomes requires BOTH effective community corrections approaches AND effective implementation practices

Scaling up and alignment

- **Transformation Zones**
- **Linking Implementation Teams**
- **Policy-Practice Feedback Loops**
- **... and systems change**

Transformation Zone

A representative “sample” (area, geography, demographics) in which you “try out” the new ideas and “suspend usual rules” so that:

- ✿ You make a small “mess”
- ✿ You can rapidly learn from your mistakes and make course corrections
- ✿ You can experience intended and unintended consequences
- ✿ You can document “what works”
- ✿ You can think about the implications of scaling-up

Transformation Zone

- **Focus on the new, effective approaches**
- **And implementation infrastructure development**
- **And organizational change**
- **And systems change**

**Current
Systems/Process**

**Transition
Systems/Process**

**Vision of
Future
Systems/Process**

**Transformation
Zone**

**Use New
Correctional
Practices**

**Develop
Implementation
Infrastructure**

Change System

Scaling up and alignment

- **How do we manage and sustain the change process?**
- **Who does the work?**

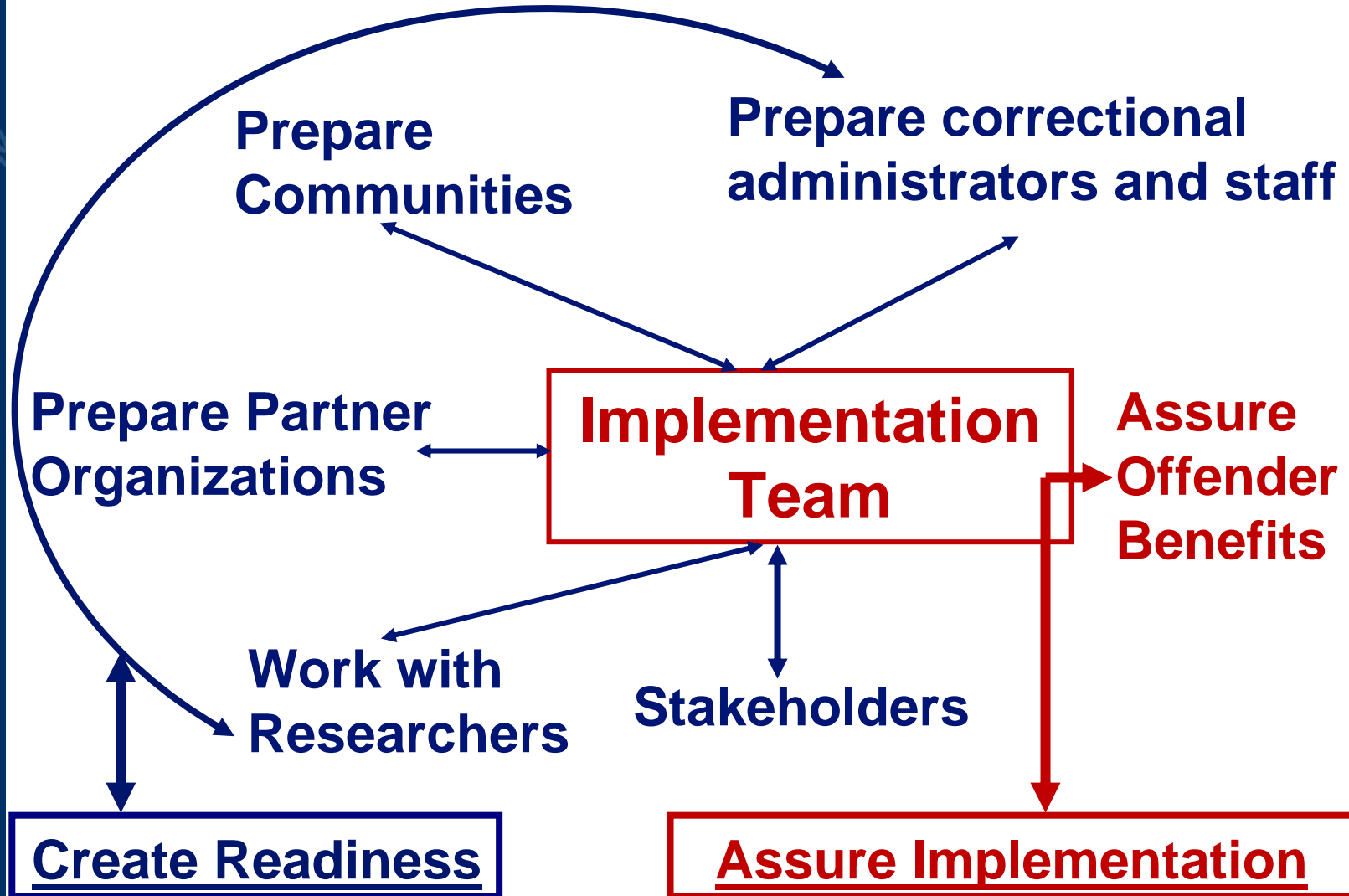
**IMPLEMENTATION
TEAMS!!**

Implementation Teams

Core Competencies:

- Know the strategy very well (formal and practice knowledge)
- Know implementation very well (formal and practice knowledge)
- Know improvement cycles to make intervention and implementation methods more effective and efficient over time
- Promote systems change at multiple levels to create hospitable cultures, policies, and funding streams

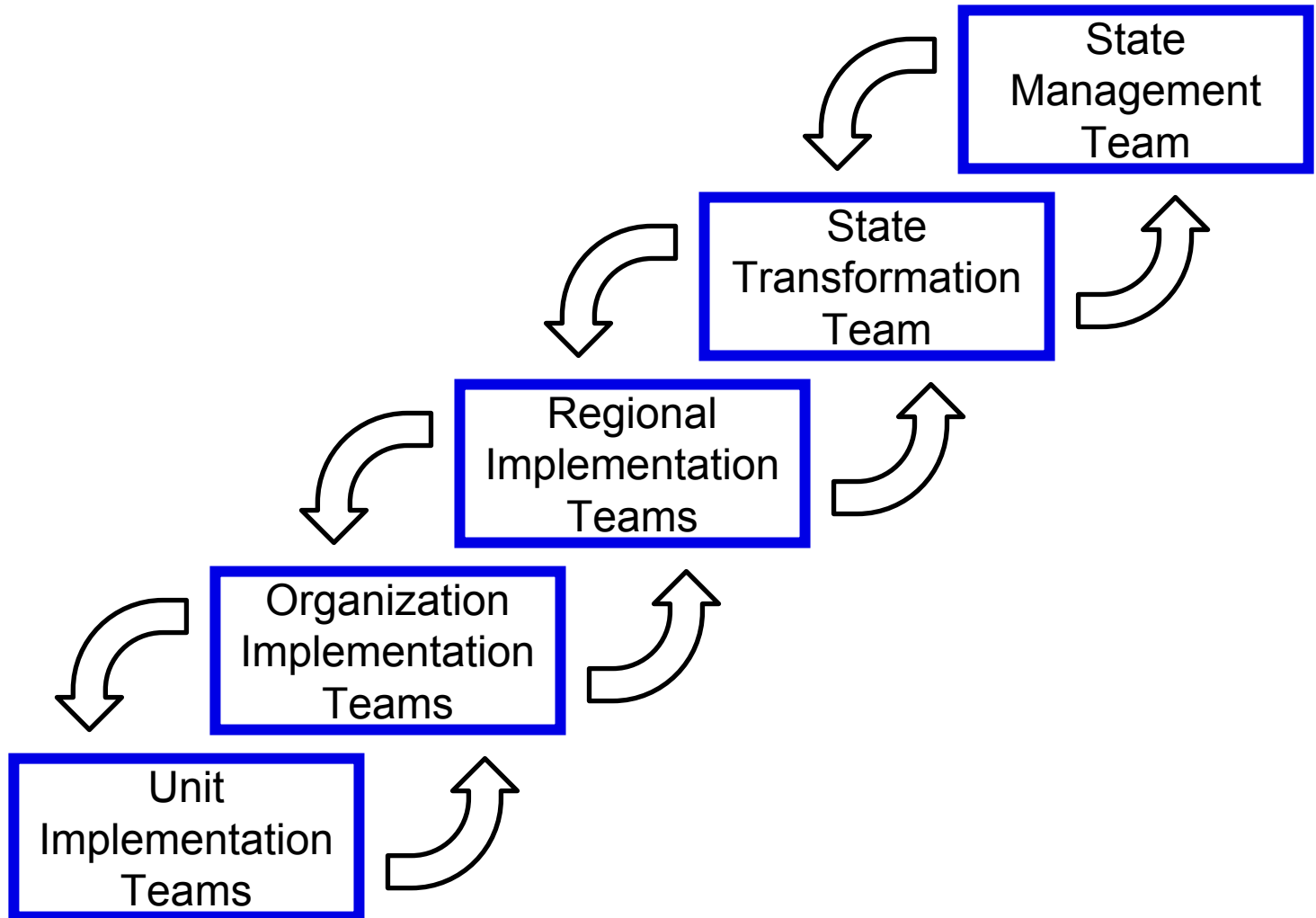
Implementation Teams



Scaling Up Effective Practices

- To scale up skill-based interventions, we must first scale up implementation capacity
- Building implementation capacity is essential to maximizing the wide-scale use of effective correctional practices

Linked Implementation Teams



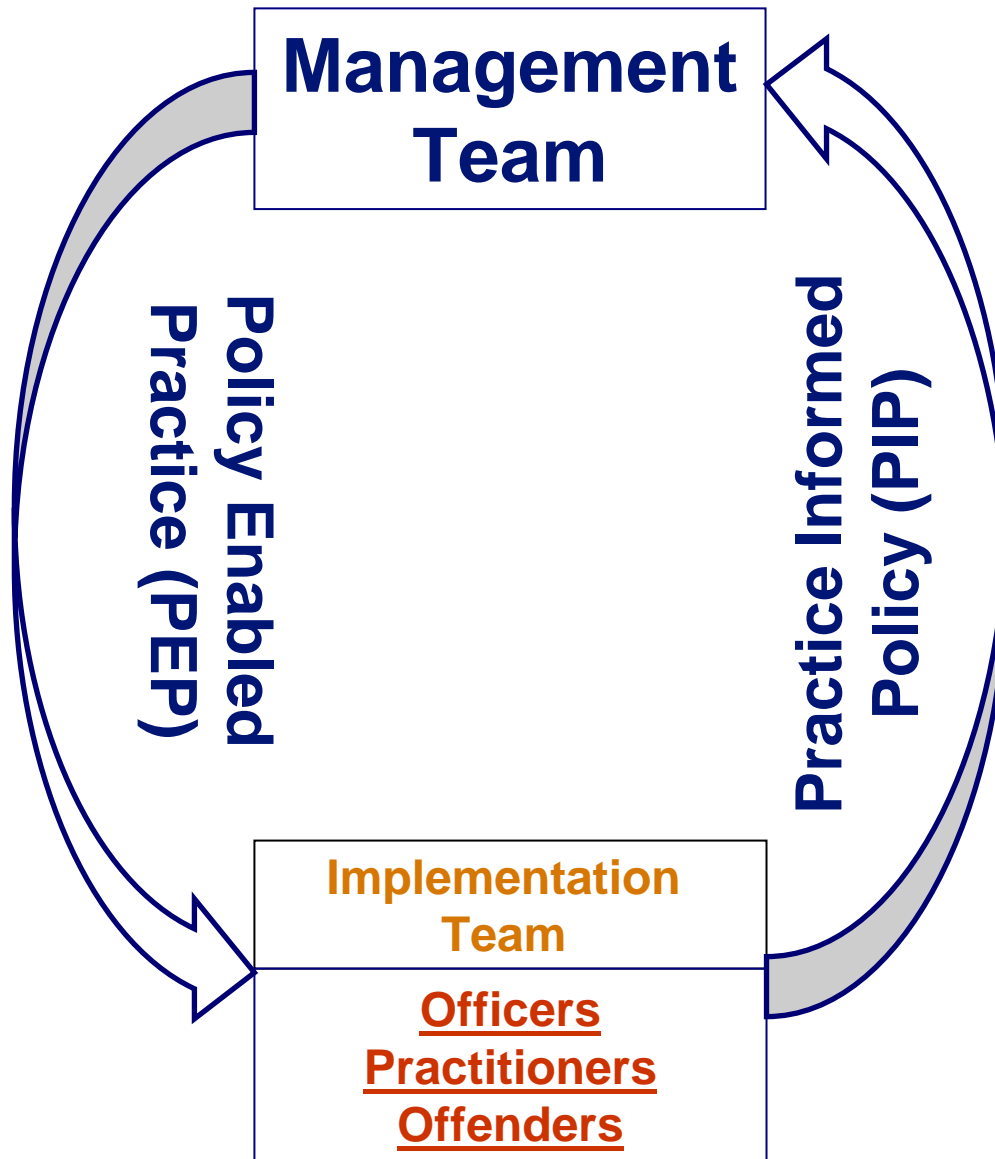
Scaling Up Outcomes



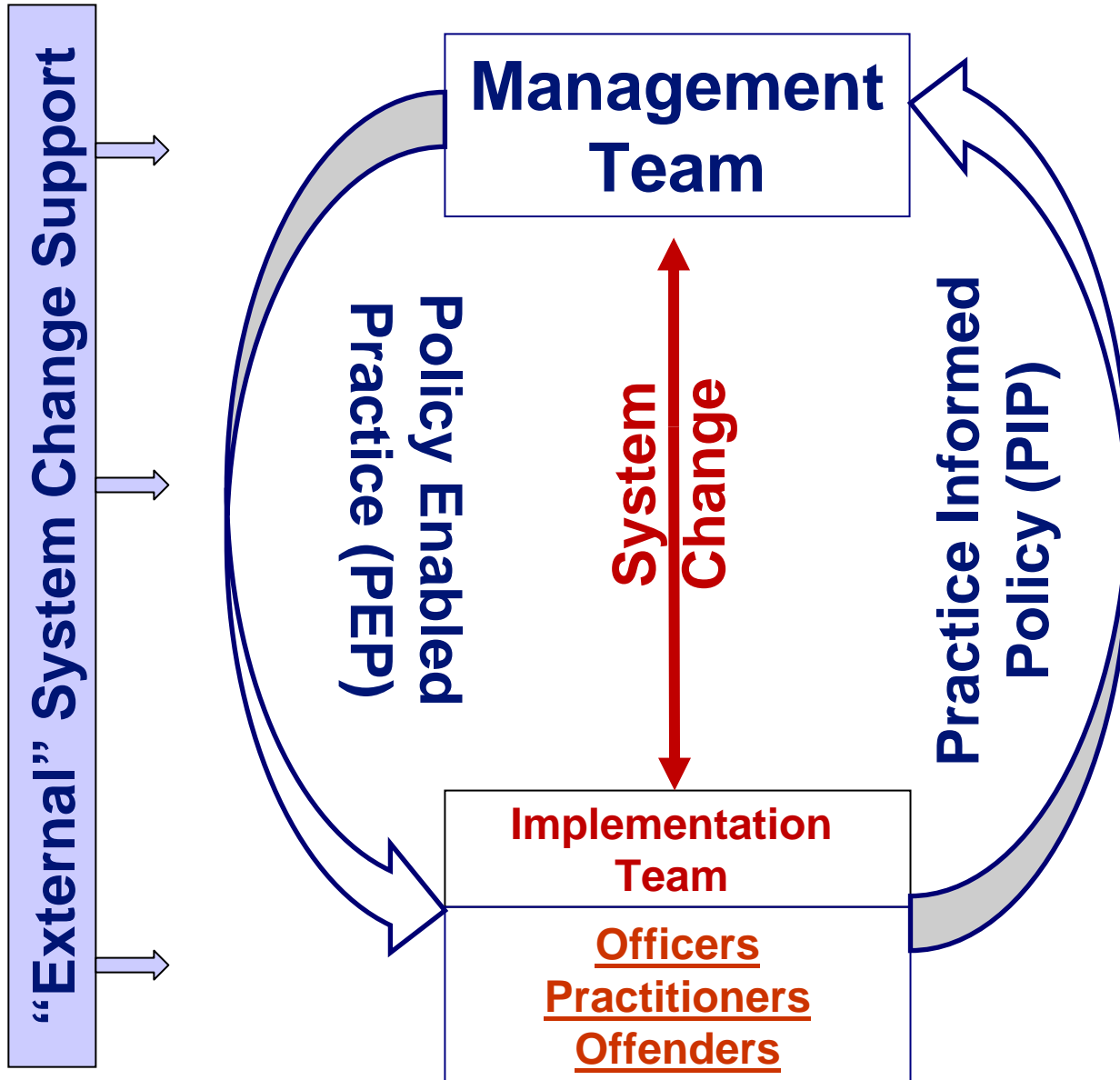
Scaling up and alignment

- Transformation Zones
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- **Policy-Practice Feedback Loops**
- **... and systems change**

Practice-Policy Feedback Loops



Practice-Policy Feedback Loops



Adaptive Challenges

- RFP methods
- IHE curricula
- Salaries
- Funding
- Credentialing
- Licensing
- Time/ scheduling
- Union contracts
- Duplication
- Fragmentation
- Hiring criteria
- Federal/ State laws

System Stability

EXISTING SYSTEM



**Effective approaches are
Changed to Fit the
System**

**Or Operate in the Shadows
(The Ghost System)**

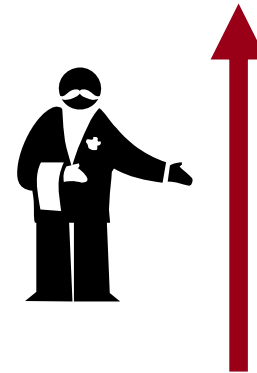
Effective System Change

EXISTING SYSTEM







**Effective approaches are
Changed to Fit the
System
Or Operate in the Shadows
(Ghost System)**

**EXISTING SYSTEM IS
CHANGED TO SUPPORT
THE EFFECTIVENESS OF
THE APPROACH**



**(Host System)
EFFECTIVE APPROACH**

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For More Information

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www.scalingup.org
<http://nirn.fpg.unc.edu/>
<http://www.fpg.unc.edu/~nirn/resources/publications/Monograph/>

For More Information

Fixsen, D. L., Naoom, S. F., Blase, K. A., Friedman, R. M. & Wallace, F. (2005). *Implementation Research: A Synthesis of the Literature*. Tampa, FL: University of South Florida, Louis de la Parte Florida Mental Health Institute, The National Implementation Research Network (FMHI Publication #231).

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