PII-TTAP

PERMANENCY INNOVATIONS INITIATIVE

Training & Technical Assistance Project

GUIDE TO DEVELOPING, IMPLEMENTING, AND ASSESSING AN INNOVATION

Volume 5: Full Implementation

Children's Bureau

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Full Implementation

The Full Implementation stage involves reviewing and refining the existing teaming structure; ensuring that implementation teams continue to be relevant, functional, and sustainable; and ensuring that they are adjusting to transitions of individuals on and off the team. The purpose is to ensure that teams that are in place, continuously improve and sustain the innovation, and ready the environment for organizational and system changes. Teams should continue to improve the implementation of the innovation and plan for sustaining it, if it is effective, through data-driven decision-making and feedback loops.

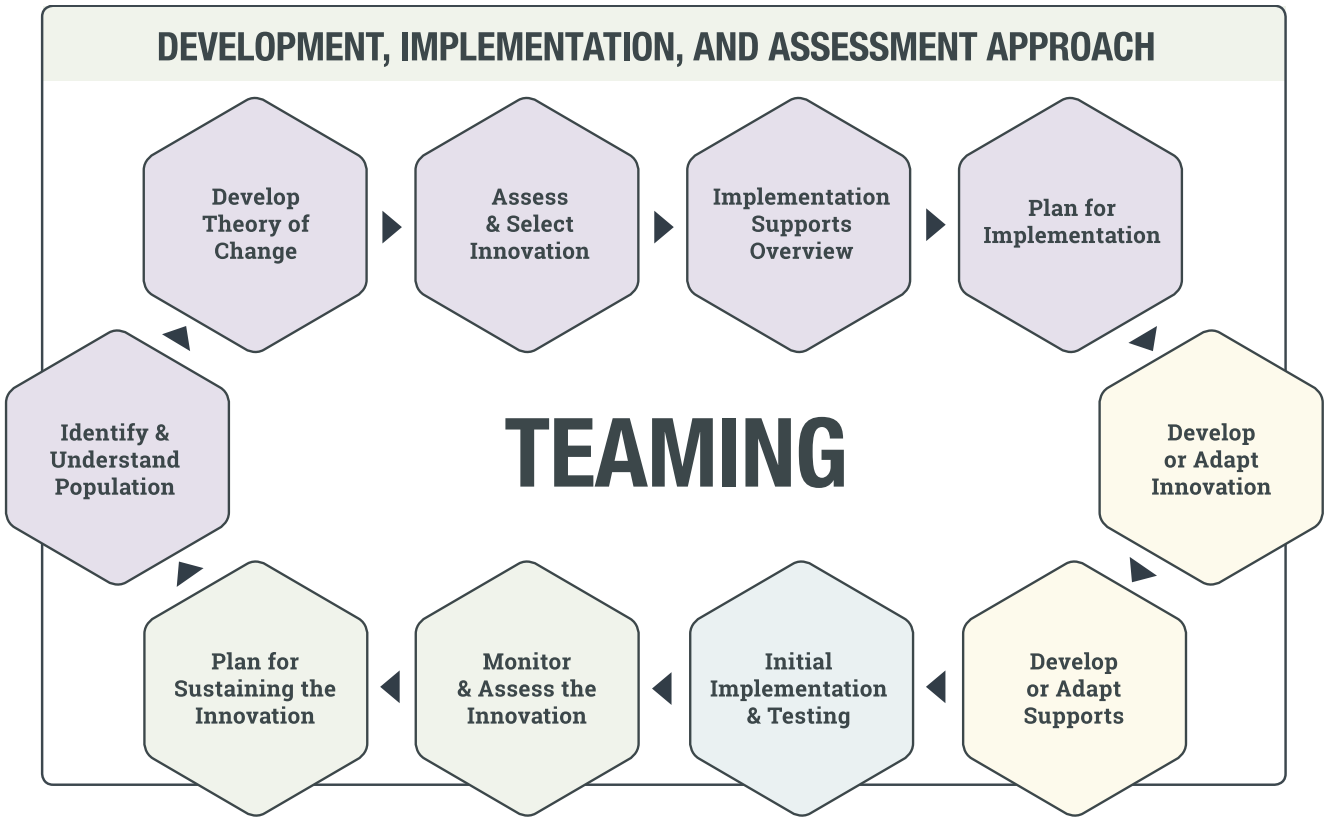
The *Guide to Developing, Implementing, and Assessing an Innovation* (the Guide) focuses on two steps during the Full Implementation stage.

Monitor & Assess the Innovation and Implementation Supports: In this step, teams continue to use multiple implementation monitoring methods to continuously improve implementation processes and ensure that each innovation is fully implemented as intended.

Plan for Sustainability: By focusing on program and implementation supports, the process outlined in the Guide encourages sustainability efforts throughout the implementation process. Efforts to sustain change should include making decisions about who has ongoing responsibility for developing and maintaining the competence of current and new staff, collecting and maintaining program and outcome data, making data-driven decisions, and funding the program.

Getting Started With Full Implementation

If starting with the Full Implementation stage based on answers to the quiz in the Introduction section, please review the questions below to



determine which step and corresponding section of Volume 5 is the most appropriate starting place. An answer of “no” to any of the questions most likely indicates an initiative is currently in that step, and the corresponding section of Volume 5 is the appropriate place to start. Implementation is not a linear process, however, so before beginning Volume 5, it may be wise to review previous steps included in the Initial Implementation stage (Volume 4 of the Guide).

Section 9: Monitor and Assess the Innovation and Implementation Supports

- Have you identified key measures to monitor and assess your innovation and its implementation supports?
- Are you regularly assessing the implementation of your innovation?
- Are you using rapid-cycle problem-solving and data to continuously improve the implementation of your innovation?

Section 10: Plan for Sustainability

- Have you continuously considered and planned for sustainability as you have made decisions about the innovation and implementation supports?
- Do you have a formal plan for sustaining the innovation?

SECTION 9

Monitor and Assess the Innovation and Implementation Supports

The three chapters in this section address the effective monitoring and assessment of the innovation and implementation supports through the use of data. Discussion includes identifying and refining key performance indicators, using data to assess whether adjustments to the innovation and implementation supports are needed, and developing action plans to implement these adjustments. The chapters will help determine how to: identify data sources already available or necessary to create; assess current implementation supports to identify what supports are effectively in place; and identify when data should be collected to assist with decision-making and action planning. This section includes a quiz to test understanding of the materials and two tools, the Decision-Support Data System Template and the Implementation Supports: Assessing Best Practices Survey, to support the development of key data indicators and the assessment of implementation supports.

Key Indicators Guidance

Overview

As outlined in Chapter 7.7: Identifying and Using Data for Decision-Making in Support of Innovation Implementation, decision-support data systems (DSDS) are used to organize and make accessible information about innovation outputs and outcomes and implementation process data. After an innovation has been operationalized, data about delivery can be reviewed, collected, and used to make decisions and identify other areas where additional data collection may be needed. This chapter will help with these important activities. The Decision-Support Data System Template at the end of this chapter can help define useful questions specific to the innovation and organization and where to find the data that will provide answers.

Learning Objectives: This chapter explains how to

- Understand the delivery of the innovation
- Determine the outcomes the target population is achieving as a result of the innovation
- Identify key indicators for tracking the implementation supports necessary for delivering the innovation as intended
- Understand the organization's capacity and infrastructure to support high quality implementation
- Understand the different layers of data that are useful for monitoring and assessing an innovation and the implementation supports
- Identify the questions an implementation team wants the data to answer
- Identify the data sources that are already available or that will need to be developed to answer those questions

Competencies: Meeting the learning objectives will develop foundational knowledge to

- Define questions the agency would like to answer as an innovation is put in place
- Identify data measures and/or indicators for assessing and monitoring implementation
- Identify data measures and/or indicators for assessing and monitoring the innovation
- Share and use data to improve implementation and practice

Decision-Support Data System Template

The information presented in this chapter makes use of the Decision-Support Data System Template, a tool to keep track of the different layers and types of data to collect. The template can be found at the end of this chapter. The recommended first step is to assemble a team and review this template.

Select Team Members

Those chosen to review and gather the different types of data outlined in this chapter should have an interest in the success of the innovation and be knowledgeable about the innovation and the child welfare system as a whole. Members of the team should be drawn from agency leadership, the implementation team, staff with knowledge of the agency's data, community stakeholders, and other key partners.

Identify Information and Data Sources

The Decision-Support Data System Template helps to organize the questions the agency would like to answer, identify existing data sources, and identify data sources that will need to be created. In the template, the data are categorized into three different layers.

Template: Layer 1

Layer 1, Building Staff Competency and Confidence for High-Quality Delivery of the Innovation and Achievement of Intended Outcomes, focuses on program outputs and implementation supports, including data related to selection, training, coaching, and fidelity assessment. Layer 1 also looks at how the target population receives the innovation, which includes data related to short- and long-term outcomes.

Template: Layer 2

Layer 2, Organization/System Supports for Delivering the Innovation as Intended, reviews the organizational or system supports that are needed to deliver the innovation. Included are:

- Data on the functioning of the leadership and implementation team
- Communication structures
- The nature and the quality of the DSDS

Template: Layer 3

Layer 3, Organization/System Development of Effective Implementation Infrastructure and Capacity, focuses on developing the organization's capacity to implement the innovation well. This includes:

- Development of the organization to build, maintain, and improve the quality of the implementation
- Development of the organization to support routine implementation processes
- Overall progress of the organization in implementing the innovation

Key Questions

For each layer there are two important questions:

- What do you want to know?
- How are you going to know it?

Layer 1

Layer 1 has two parts:

- Part 1: Questions related to staff recruitment and selection, training, coaching, and fidelity assessments (i.e., implementation supports)
- Part 2: Questions about how the children and families are experiencing the innovation (i.e., innovation provision)

Layer 1: What Do You Want to Know About Implementation Supports?

The first part of Layer 1 focuses on answering questions about staff recruitment and selection, training, coaching, and fidelity assessments. Questions should pertain to:

- The provision of the implementation supports, such as:
  - How many practitioners have been recruited and trained?
  - How many are participating in coaching?
  - How many have completed fidelity assessments?
- The outcomes of providing the implementation supports, such as:
  - Whether the recruitment and selection process resulted in the selection of people who fit the innovation
  - Whether training increased the knowledge and skills of the practitioners
  - Whether coaching is helping practitioners to better use their skills and knowledge of the innovation

  - Whether the innovation is being delivered as intended
- The quality of the implementation supports, such as:
  - Whether practitioners were satisfied with their training and coaching
  - Whether the recruitment process prepared them for the position they filled
  - Whether all the essential processes of these functions were covered

Layer 1: How Are You Going To Know It?

Data may not be readily available. The team may need to figure out how to track or access data sources needed to answer the questions generated above.

It may be helpful to focus on only a few questions to start. Tackling too many questions at once may be overwhelming, and the resulting data may not prove useful to agency leadership or the implementation team.

Layer 1: What Do You Want To Know About Innovation Provision?

The second part of Layer 1 covers data related to how the target population is experiencing the innovation. When brainstorming the data needed for this section, the team should consider the provision of the innovation to the target population. This could include how many members of the target population have:

- Agreed to receive or participate in the innovation
- Begun to receive the innovation
- Completed certain components
- Received the entire innovation
- Elected not to continue with the innovation

The team should consult the theory of change and the list of desired outcomes when thinking about the data needed for short- and long-term outcomes.

- Data related to short-term outcomes could include:
  - An assessment of whether the target population was satisfied with the innovation and service delivery
  - Whether the target population gained new knowledge or learned a certain skill set
  - Whether they were able to apply this new knowledge
- Data related to long-term outcomes could include:
  - Whether child and family reunifications increased
  - Whether practitioners were able to engage more clients in services than before participation in the innovation
  - Whether the time in out-of-home care decreased

Layer 1: How Are You Going to Know It?

The team should determine the data sources needed to answer the questions about how the target population is experiencing the innovation. These data may not be readily available, and the team may need to figure out how to track or access it. Partnering with external stakeholders and partners, such as early education and mental health agencies, can be helpful but may require a Memorandum of Understanding (MOU).

As with data about implementation supports, with outcome data it may be helpful to focus on only a few questions to start; tackling too many questions at once may be overwhelming, and the resulting data may not prove useful.

Layer 2

Layer 2 focuses on answering questions about how the organization is supporting the staff to deliver the innovation as intended. This makes use of the implementation data that is aligned with the DSDS, and organizational, leadership, and stakeholder supports.

The data from Layer 2 help support implementation of the innovation by identifying higher-level issues that

may affect the on-the-ground implementation efforts. The data from this layer directly support the accessibility, quality, and sustainability of the implementation data in Layer 1 and relate to how well the organization is supporting the delivery of the innovation.

Layer 2: What Do You Want to Know?

In Layer 2, the team should focus on four areas when answering the question, "What do you want to know?"

- The functioning of the executive leadership team.[1] Questions could include whether the team:
  - Exists and has a written team charter
  - Meets regularly
  - Engages in data-based decision-making
  - Engages in problem-solving to fix implementation barriers
- The functioning of the DSDS. Questions could include:
  - Whether the data are reliable
  - Whether there is a data collection and reporting schedule
  - Whether data are being analyzed and reviewed regularly
- The functioning of the implementation team. Questions could include whether the implementation team:
  - Exists, meets regularly, and has a written team charter
  - Engages in data-based decision-making
  - Ensures the community is engaged and informing the initiative
  - Ensures a hospitable environment for the innovation
- The functioning of the communication protocols. Questions could include:
  - Whether there are transparent, written communication protocols between leadership, the implementation team, and front line practitioners
  - Whether these written protocols are used on a regular basis

Layer 2: How Are You Going to Know It?

The team should determine the data sources needed to answer the identified questions about organizational supports. Examples of data sources are written team charters and an established quality assurance process to verify the reliability of data used for decision-making. The data may not be readily available, and the team may need to figure out how to track or access it.

As with data in Layer 1, focusing on a few questions to start may prevent unnecessary frustrations.

Layer 3

Layer 3 focuses on answering questions about how well the organization is developing the implementation capacity and infrastructure to support high quality implementation processes and functions (Layers 1 and 2). As a result, the data in Layer 3 significantly influence the data in Layers 1 and 2. Layer 3 provides a way to identify organizational development issues that could affect routine implementation processes or

[1] We use the term "executive leadership team" to refer to the formal leadership team of an agency or organization responsible for the ongoing operations of an agency or organization.

functions. For example, an organization is more likely to be hospitable to the innovation, and outcomes are more likely to be favorable, if the organization:

- Has a well-developed implementation infrastructure (leadership and implementation support teams)
- Has on-the-ground implementation supports (training, coaching, etc.)
- Is moving systematically through the implementation process

When brainstorming questions for this layer, the team should consider three areas:

- The capacity of the organization to build, maintain, and improve the quality of the implementation infrastructure and serve the target population
- How well the implementation supports are functioning
- The status of the innovation (This is an important area to assess, because it provides information about how well the organization is conducting the key activities related to the development of the infrastructure. It can also bring attention to any missed areas.)

Layer 3: What Do You Want to Know?

Layer 3 focuses on answering questions about how well the organization has developed the needed capacity to support high-quality processes and functions. Some example questions include:

- Does the organization have the capacity to build, maintain, and improve the quality of the implementation infrastructure?
- Are enough practitioners using the innovation as intended to meet the needs of the target population?
- Are implementation supports being used?
- Are implementation supports leading to high fidelity use of the innovation?
- Is the organization attending to the right implementation activities at the right time?

Layer 3: How Are You Going to Know It?

Next, the team should determine the necessary data sources, keeping in mind that the data may not be readily available, and the team may need to figure out how to track or access it. For help in answering questions about organizational and system implementation supports, the Implementation Supports: Assessing Best Practices Survey provides a structure for examining current implementation supports and implementation capacity in an organization. (See Chapter 9.2 for more information on this survey.)

Again, starting with only a few questions is advised for ensuring that the data is useful.

Decision-Support Data System Template

The Decision-Support Data System Template on the following pages can assist in keeping track of the various questions for each layer, as well as the possible data sources for each of the questions.

DECISION-SUPPORT DATA SYSTEM TEMPLATE

FROM THE *GUIDE TO DEVELOPING, IMPLEMENTING, AND ASSESSING AN INNOVATION, VOLUME 5*

After reading Chapter 9.1, brainstorm possible questions that you want answered for each of the data layers. Remember that within each layer there are two key questions that need to be answered. They are "What do you want to know?" and "How are you going to know it?" Use the area below each of the key questions to outline what you want to know specific to your innovation and your organization and where you will find that data within or outside of your organization. For each of the layers, remember to focus on only a few questions to avoid unnecessary frustrations.

"What do you want to know?"	"How are you going to know it?"
Use this area to identify the questions you would like to answer within each of the layers.	Use this area to identify the data sources you already have or will need to answer the questions generated in the "What do you want to know?" column

This tool may be used in two ways:

1. ***Print the following pages and use them as a discussion guide with your team. Write your answers in the space provided.***
2. ***Type your information into the space provided and save to your computer. This will allow you to print the completed document or e-mail it to your team members.***

Layer 1

Layer 1 has two parts. The first part gives you the opportunity to answer questions related to staff selection, training, coaching, and fidelity assessments. The second part helps you identify what data are needed to answer questions about how children and families are receiving the innovation.

IMPLEMENTATION SUPPORTS

Remember to include questions about: 1. provision of the implementation supports, 2. outcomes of providing them, and 3. their quality.

Recruitment and Selection Multiple data sources can be used to analyze the effectiveness of the recruitment and selection processes and inform improvement efforts. Data sources might include immediate feedback from training and longer-term feedback from fidelity assessments and exit interviews.	
"What do you want to know?"	**"How are you going to know it?"**

Training
Pre- and post-tests of knowledge and skill or competency exams provide data regarding areas of strength and areas that need improvement for each practitioner. This information can be shared with trainers, coaches, and supervisors to target coaching and supervision activities. These data can also be used to continually improve training methods such as the training schedule and content, training processes, and trainer qualifications.

"What do you want to know?"	"How are you going to know it?"

Coaching Regularly review coaching data and feedback loops to inform and improve implementation supports and to individualize and tailor coaching sessions with staff to ensure adherence to the innovation and assist with ongoing skill development and performance enhancement.	
"What do you want to know?"	**"How are you going to know it?"**

Fidelity
Fidelity assessments provide useful feedback regarding implementation supports (e.g., training, coaching, organizational policies, or procedures) and allow for interpretation of program outcomes; therefore, they are useful to a wide variety of stakeholders.

"What do you want to know?"	"How are you going to know it?"

INNOVATION PROVISION

Service Provision Innovation data related to children and families.	
"What do you want to know?"	**"How are you going to know it?"**

Short-Term Outcomes	
"What do you want to know?"	**"How are you going to know it?"**

Long-Term Outcomes	
"What do you want to know?"	**"How are you going to know it?"**

Layer 2

Layer 2 helps you identify what data are needed to answer questions about how the organization is supporting the staff to deliver the innovation as intended. This makes use of the implementation data that is aligned with the DSDS and organizational, leadership, and stakeholder supports. The data from Layer 2 help support the on-the-ground implementation of the innovation by identifying higher-level issues that may affect the on-the-ground implementation efforts.

IMPLEMENTATION DATA

Organization/System Support (Remember to include data related to: 1. functioning of the executive leadership team; 2. functioning of the implementation team; 3. functioning of organization's communication protocols; and 4. functioning of the data system.)

Executive Leadership Team	
"What do you want to know?" (Check all that apply)	**"How are you going to know it?"**
Whether the Executive Leadership Team:	
☐ Exists	
☐ Has a written team charter	
☐ Meets regularly	
☐ Regularly engages in data-based decision-making	
☐ Regularly engages in problem solving to fix system barriers to implementation	
☐ Keeps implementation of the innovation moving forward	
☐ Other (write in):	

Data System	
"What do you want to know?" (Check all that apply)	**"How are you going to know it?"**
Whether:	
☐ Data are reliable	
☐ Data collection schedule exists	
☐ Data reporting schedule exists	
☐ Data technology infrastructure supports centralized storage of data and easy access to data	
☐ A qualified data analyst(s) is regularly analyzing the data	
☐ Data are being reviewed by relevant implementation support teams	
☐ Other (write in):	

Implementation Team	
"What do you want to know?" (Check all that apply)	**"How are you going to know it?"**
Whether the implementation team:	
☐ Exists	
☐ Has a written team charter	
☐ Meets regularly	
☐ Regularly engages in data-based decision making	
☐ Ensures the implementation drivers are accessible and high quality	
☐ Ensures the system is engaged with and informed by the community	
Whether members of the implementation team collectively have experience related to:	
☐ The innovation being implemented	
☐ Implementation best practices	
☐ Systems Improvement	

Implementation Team	
"What do you want to know?" (Check all that apply)	**"How are you going to know it?"**
Whether the implementation team ensures a hospitable environment for the innovation by:	
☐ Facilitating communication throughout the system	
☐ Regularly engaging in problem solving system barriers to implementation	
☐ Ensuring sustainable resources for implementation	
☐ Other (write in):	

Organization/System Communication	
"What do you want to know?" (Check all that apply)	**"How are you going to know it?"**
Whether:	
☐ Transparent, written communication protocols are established between Leadership, the Implementation Team, other implementation and support teams, and front-line practitioners	
☐ Transparent, written communication protocols are used on a regular basis	
☐ Other (write in):	

Layer 3

Layer 3 helps you identify what data are needed to answer questions about how well the organization is developing the implementation capacity and infrastructure to support high quality implementation processes and functions, such as those outlined in Layers 1 and 2. As a result, the data in Layer 3 significantly influence the data in Layers 1 and 2.

INFRASTRUCTURE AND CAPACITY DATA

Organization/System Support (Remember to include information about: 1. the capacity of the organization to build, maintain, and improve the quality of the implementation infrastructure; 2. the collective quality of the implementation supports, and 3. the status of the innovation in the implementation process.)

Organization/System Capacity	
"What do you want to know?" (Check all that apply)	**"How are you going to know it?"**
Whether:	
☐ The system has the capacity to build, maintain, and improve quality of the implementation infrastructure	
☐ The percentage of practitioners who are reliably using the innovation as intended is sufficient to serve the system's clients	
☐ Other (write in):	

Implementation Supports	
"What do you want to know?" (Check all that apply)	**"How are you going to know it?"**
Whether:	
☐ Implementation supports are in place and best practices are being used	
☐ Implementation supports are supporting high-fidelity use of the innovation at the practice level	
☐ Other (write in):	

Implementation Process	
"What do you want to know?" (Check all that apply)	**"How are you going to know it?"**
Whether:	
☐ Organization is attending to the right implementation activities at the right time	
☐ Other (write in):	

Implementation Supports: Assessing Best Practices

Overview

The previous chapter focuses on the different layers of data that are useful for monitoring and assessing an innovation, its implementation supports, the questions an agency wants to answer, and the data sources that are available or need to be developed. This chapter reviews the Implementation Supports: Assessing Best Practices Survey, a tool designed to assess existing implementation supports. The survey is located at the end of this chapter.

Learning Objectives: This chapter builds the comprehension to

- Understand why assessing the implementation supports might be useful
- Identify the best people in the organization to participate in the assessment
- Understand how to administer and score the assessment

Competencies: Meeting the learning objectives will develop foundational knowledge to assess and strengthen implementation supports.

Implementation Supports: Assessing Best Practices Survey

The content in this chapter is based on the Implementation Supports: Assessing Best Practices Survey, which can be found at the end of this chapter. The goal of the self-assessment is to use the information as a basis for action planning. It can be used at any stage of implementation.

The survey gathers information from a variety of respondents, all of them knowledgeable about the innovation and what it takes to implement it well. While not every respondent needs to be familiar with each aspect of the implementation process, collectively they should provide a well-rounded view of how the supports currently work in the organization.

Who Should Respondents Be?

Respondents should be people internal to the organization who are helping staff to use the innovation in their daily practice. They can be responsible for a variety of tasks, including training, coaching, collecting data, or other tasks that help to implement the innovation as intended. Anyone who has to learn the new innovation, such as practitioners, should not be respondents of this assessment.

Rating Implementation Best Practices

Items in the survey are grouped by implementation best practice. The survey asks the respondents to rate them on a three-point scale indicating how well the support is in place.

Administering the Assessment

The assessment is intended to be administered in a facilitated group session by an external facilitator knowledgeable about implementation; an implementation team member knowledgeable about implementation may also facilitate the group session. The assessment can also be administered to individual respondents by an electronic or paper survey. The survey may take 3 – 4 hours when administered as a facilitated group session or 20 – 30 minutes per respondent when administered individually. The preamble, which should

always be included when administering the assessment, provides a brief description of the implementation support and ensures every respondent has the same context for answering the questions.

Using the Results

This assessment is intended as a way to develop implementation capacity to support one or more innovations in place within an organization. The collective results can be used to inform decision-making and action planning.

Scoring the Assessment

The assessment is determined as a percentage of scores in each column for each of the implementation supports. The denominator, or bottom number of the fraction, is the number of best practices listed, multiplied by the number of respondents. For example, 7 best practices are listed for recruitment and selection of staff. Given a total of 12 respondents, the denominator would be 7 times 12, or 84.

The total number of responses in each column is the numerator, or the top number in the fraction.

For this example, there are 30 responses in the "in place" column, so the fraction would have 30 as the numerator and 84 as the denominator.

Dividing 30 by 84 would indicate that approximately 36% of respondents felt that the implementation support was in place. This score should be calculated for each of the columns for each of the implementation supports to get an overall picture of how well the implementation support is in place. Having this information can help to identify areas for improvement and lead to action planning to develop the implementation support.

$$\frac{\text{number of responses in each column}}{\text{number of best practices} \times \text{number of respondents}}$$

Example:

$$\frac{30}{7 \times 12 = 84}$$

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes/ Comments:
Best Practice 1	6	6	0	
Best Practice 2	10	2	0	
Best Practice 3	2	5	5	
Best Practice 4	4	3	5	
Best Practice 5	6	6	0	
Best Practice 6	2	9	1	
Best Practice 7	0	11	1	

Implementation Supports: Assessing Best Practices Survey

The tools on the following pages can be used for administering the Implementation Supports: Assessing Best Practices Survey. The Administrator's Guide is designed for whomever will be administering the survey. It includes instructions for administering and scoring the survey, and summarizing next steps. The survey includes instructions for survey respondents and the survey questions.

IMPLEMENTATION SUPPORTS: ASSESSING BEST PRACTICES SURVEY – ADMINISTRATOR'S GUIDE

FROM THE *GUIDE TO DEVELOPING, IMPLEMENTING, AND ASSESSING AN INNOVATION, VOLUME 5*

This administrator's guide and the survey may be used in three ways:

1. ***Print the administrator's guide and the survey and use them to facilitate an assessment with your team. Type the responses into the space provided and save to your computer. This will allow you to print the completed document or e-mail it to your team members.***
2. ***Print the administrator's guide and the survey and administer the survey as a paper survey.***
3. ***Print the administrator's guide and administer the survey electronically.***

Introduction

This survey is designed to help organizations begin the process of assessing their current implementation supports, often called implementation drivers or factors for successful implementation. This self-assessment is completed by a variety of respondents knowledgeable about the innovation and what it takes to implement it well. Respondents should be able to provide a well-rounded view of how the supports are currently working in the organization. The assessment asks respondents to rate a wide range of implementation best practices on a three-point scale, indicating how well the support is in place (in place, partially in place, not in place). The resulting information from all respondents can help determine which supports—and the best practices contained within them—are working well, and which supports need attention and possible improvement. The survey provides one source of data that can be used to inform decision-making, action planning, and improvement processes.

The self-assessment process involves collecting information from people currently doing all or some of the work of implementation. The goal of the self-assessment is to use the information as a basis for action planning. This self-assessment is not an evaluation but is a good way to initiate action planning for implementation capacity development in support of one or more innovations. It can be helpful to assess these implementation supports at any stage of implementation.

Administration

The items in this self-assessment are grouped by type of implementation support. The assessment can be administered in a facilitated group session or to individual respondents in an electronic or paper survey. If the assessment is administered electronically, the introduction to each section needs to be included in the survey so respondents will have a common context for answering the questions. Thus, it should appear in the electronic survey format in the same sequence as it does in the paper version.

The respondents should be those people in the organization who are helping others make use of innovations in their daily practice. Respondents might already be providing training or coaching, collecting data, or doing

other things to help practitioners and other staff implement the innovation. The assessment may be completed for any innovation that is well-operationalized and is being implemented within the organization. To make sure the results are useful and relevant, however, each time the assessment is completed, the focus must be on one innovation, and it must be clear to assessment respondents. In this way, the data collected can accurately reflect the status of the implementation supports for that one innovation, and the subsequent action planning will be useful and relevant.

While practitioners are among those who must learn new ways of working and new skills in order to make full and effective use of the innovation, they are not the audience intended to complete the assessment. Survey respondents are those who are *helping* to bring about the behavior change with practitioners. A given administration of the assessment may include more or fewer respondents, but all respondents need to have a working knowledge of the innovation and what it looks like in practice and/or knowledge of the current implementation supports.

Scoring

The assessment is scored as a percentage of scores in each column (in place, partially in place, and not in place) for each of the implementation supports. The denominator of the fraction is the number of best practices listed multiplied by the number of respondents. The total number of responses in each column is the numerator. For example, 7 best practices are listed for recruitment and selection of staff. If there are a total of 12 respondents, the denominator would be 84. If there are 30 responses in the "in place" column, it would look like the fraction below:

$$\frac{\text{In place} = 30}{12 \text{ respondents} \times 7 \text{ best practices} = 84}$$

Dividing 30 by 84 would indicate that approximately 36% felt that the implementation support was in place. This score should be calculated for each of the columns for each implementation support to get an overall picture of how well the support is in place. This information can identify areas for improvement and lead to action planning to enhance the implementation support.

Summary of Next Steps by Implementation Support

Use the table below to summarize action steps to strengthen each implementation support, as necessary.

Recruitment and Selection:
Training Staff:
Supervision and Coaching:
Fidelity Assessment:
Identification and Use of Data:
Leadership and Stakeholder Supports:

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IMPLEMENTATION SUPPORTS: ASSESSING BEST PRACTICES SURVEY

FROM THE *GUIDE TO DEVELOPING, IMPLEMENTING, AND ASSESSING AN INNOVATION, VOLUME 5*

Introduction

This survey is designed to help organizations begin the process of assessing their current implementation supports, often called implementation drivers or factors for successful implementation. The survey is completed by a variety of respondents knowledgeable about the innovation and what it takes to implement it well. It asks respondents to rate a wide range of implementation best practices on a three-point scale, indicating how well the support is in place (in place, partially in place, not in place). The resulting information can help determine which supports—and the best practices contained within them—are working well, and which supports need attention and possible improvement. The survey provides one source of data that can be used to inform decision-making, action planning, and improvement processes.

Instructions

The survey questions are grouped by type of implementation support. Please read the brief description of the implementation support and then read the survey questions. Please rate each item as either “In Place,” “Partially in Place,” or “Not in Place.”

Recruitment and Selection of Staff

Staff selection is the beginning point for building a competent workforce that has the knowledge, skills, and abilities to carry out innovations that improve outcomes. Beyond academic qualifications or experience factors, essential skills are required. Certain practitioner characteristics critical to the use of an innovation are difficult to teach in training sessions, so they must be part of the selection criteria (e.g., basic professional skills and basic social skills). Implementation of effective innovations on a useful scale requires:

- Specification of required skills and abilities
- Methods for recruiting likely candidates that possess these skills and abilities
- Protocols for interviewing candidates
- Criteria for selecting practitioners with those skills and abilities

Even when implementation is occurring in an organization with a well-established staff, the new way of work can be described and staff volunteers can be recruited and interviewed for selection as the first practitioners to make use of the innovation. Pre- and post-test scores for training provide an immediate source of selection outcome data, and fidelity assessment scores provide a more important but longer-term source of feedback on the usefulness of the selection process. In addition, turnover data also reflect how well the recruitment and selection process is working. Organizations make use of these data to continue to improve recruitment and selection methods.

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes/ Comments:
A person or a team is clearly accountable for the development and monitoring of thorough and timely selection processes.	☐	☐	☐	
The practitioner's job description is clear regarding the accountability and expectations of the position.	☐	☐	☐	
The prerequisites for employment are related to the new practices and expectations.	☐	☐	☐	
An interactive interview process includes:				
• Behavioral vignettes and behavioral rehearsals	☐	☐	☐	
• Assessment of practitioner's ability to accept feedback	☐	☐	☐	

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes/ Comments:
• Assessment of practitioner's ability to change his/her behavior based on feedback	☐	☐	☐	
Interviews are conducted by those who understand the skills and abilities needed and can assess applicants accurately.	☐	☐	☐	
Interview data are transmitted to training staff, supervisors, and coaches on a regular basis.	☐	☐	☐	
A process is in place to gather feedback data from exit interviews, training, turnover, opinions of administrators and coaches, and staff evaluation to evaluate the overall effectiveness of training.	☐	☐	☐	
Best Practice Scores – percentage of recruitment and selection items in each column				

Locus of Responsibility – Overall, who is responsible for the functioning and improvement of this implementation support?	
How could this support be strengthened?	

Training Staff

Staff training is important because innovations represent new ways of working with children and families. Innovation-based training helps practitioners (and others) in an organization learn when, where, how, why, and with whom to use (and not to use) new approaches and new skills. Staff training is an efficient way to:

- Provide knowledge related to the history, research, theory, philosophy, and values of the innovation
- Introduce the components of, and rationale for, key practices
- Provide opportunities to practice new skills with clear criteria and receive feedback in a safe and supportive training environment

Implementation best practices and science indicate that good training includes ample opportunities for demonstration of innovation-related skills, behavior rehearsal of criteria, and pre- and post-tests of knowledge and skills. The results of post-tests of training are "fed forward" to the coach for each newly trained practitioner. In this way the coach will know areas of strength and areas that need improvement that are likely to be the focus of coaching early in the coaching relationship. Organizations make use of these data to continue to improve training methods, and pre-/post-test data are fed back to those charged with recruiting and hiring staff who will implement the innovation to improve the recruitment and selection processes.

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes/ Comments:
A person or team is clearly accountable for the development and monitoring of a thorough and timely training service.	☐	☐	☐	
Training is timely and occurs before the practitioner attempts to or is required to use the new innovation.	☐	☐	☐	
Training is grounded in theory, and adult learning principles are used.	☐	☐	☐	
Training is skill-based and includes the following components:				
• Behavioral rehearsals	☐	☐	☐	
• Qualified rehearsal leaders who are content experts	☐	☐	☐	
• A chance to practice critical interaction skills	☐	☐	☐	

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes/ Comments:
Data from pre- and post-tests are fed to coaches/supervisors to inform their work with practitioners.	☐	☐	☐	
Data from pre- and post-tests are fed to those in charge of selection and recruitment to improve future training content and methods.	☐	☐	☐	
Training outcome data (both pre- and post-test) are collected and analyzed.	☐	☐	☐	
Trainers have been trained in the innovation.	☐	☐	☐	
Trainers have been and are being coached in the innovation.	☐	☐	☐	
Fidelity assessment measures related to training are collected and analyzed (e.g., schedule, content, processes, qualification of trainers).	☐	☐	☐	
Best Practice Scores – percentage of training items in each column				

Locus of Responsibility – Overall, who is responsible for the functioning and improvement of this implementation support?	
How could this support be strengthened?	

Supervision and Coaching

Staff coaching is essential because the skills needed by successful practitioners that are assessed during selection and introduced in training are often learned on the job with the help of a coach. An effective coach provides information along with advice, encouragement, and opportunities to practice and use skills specific to the innovation. The full and effective use of human service innovations requires behavioral change at the practitioner, supervisory, and administrative support levels. Training and coaching are the principal implementation methods in which behavior change is brought about for carefully selected staff in the beginning stages of implementation and throughout the life of an innovation. Organizations make use of the data from coaching sessions and fidelity assessments to improve coaching methods. Supervision and coaching may be provided by the same person or by different people. There are benefits and challenges with either form. However, the emphasis is on whether these supports exist, not on the form they take.

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
A person or team is clearly accountable for the development and monitoring of quality and timely coaching services (i.e., a lead person is designated and supported).	☐	☐	☐	
The coaches are fluent in the innovation(s) (i.e., they know and can demonstrate the skills and abilities required of practitioners).	☐	☐	☐	
There is a written Coaching Service Delivery Plan that details where, when, with whom, and why coaching will occur.	☐	☐	☐	
Coaches use multiple sources of information for feedback to practitioners (e.g., documentation, case plans, observation).	☐	☐	☐	
Coaches directly observe practitioners using the innovations(s) (e.g., in person, audio, video).	☐	☐	☐	
Coaching data are regularly reviewed and inform the improvement of other implementation supports (e.g., training and recruitment).	☐	☐	☐	

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
An accountability structure and process for coaches includes:				
• Adherence to a Coaching Service Delivery Plan, which is regularly reviewed by coach and supervisor	☐	☐	☐	
• Evidence that practitioners' abilities to deliver the innovation continually improve	☐	☐	☐	
• Multiple sources of information used for feedback to coaches	☐	☐	☐	
◦ Satisfaction surveys from those being coached	☐	☐	☐	
◦ Observations of each coach by an expert/ master coach	☐	☐	☐	
◦ Fidelity assessments of those being coached (e.g., practitioners) are used as a key coaching outcome	☐	☐	☐	
Best Practice Scores – percentage of supervision/coaching items in each column				

Locus of Responsibility – Overall, who is responsible for the functioning and improvement of this implementation support?	
How could this support be strengthened?	

Fidelity Assessment

A fidelity assessment is designed to assess the use of the skills that are reflected in the selection criteria, taught in training, and reinforced and expanded in coaching processes. Assessments of practitioner fidelity also provide feedback useful to key implementation staff (interviewers, trainers, coaches, program managers) regarding the progress of implementation efforts and the usefulness of selection, training, and coaching methods. For example, organizations consistently monitor fidelity assessments in search of common strengths and common areas that need improvement to make adjustments in how selection, training, and coaching are conducted to help strengthen skills related to that area. The organization remains accountable for ensuring that current and future practitioners will achieve high levels of effective performance when working with children, families, and others. Organizations make use of these data to continue to improve fidelity assessment methods.

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
A person or team is clearly accountable for fidelity assessment measurement and reporting.	☐	☐	☐	
A staff orientation is offered regarding the procedures used for fidelity assessment resulting in a transparent process for all involved.	☐	☐	☐	
The fidelity assessment measures are highly correlated with (predictive of) intended outcomes.[1]	☐	☐	☐	
Fidelity assessments are conducted on a regular basis for each practitioner	☐	☐	☐	
The fidelity assessment measurement and reporting system is feasible, practical, and efficient.	☐	☐	☐	
Fidelity assessment measures include measurement of adherence and competence.	☐	☐	☐	

[1]Correlation with outcomes is determined through rigorous evaluation. If you are developing your innovation, measures and processes to assess fidelity and correlation with outcomes may be unknown. However, the measures should be connected to your theory of change

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
The fidelity assessment uses multiple data sources to assess fidelity (e.g., practitioners, supervisors, families).	☐	☐	☐	
A positive recognition process is in place for participation in the fidelity assessment process (i.e., fidelity assessment is seen as a source of data to improve quality, not a punitive process).	☐	☐	☐	
Fidelity assessment raters are trained on the essential functions of the innovation as well as the expectations of the practitioner to deliver the innovation.	☐	☐	☐	
The fidelity assessment process includes a system to ensure continued quality assurance of the raters (e.g., periodic monitoring to ensure inter-rater reliability).	☐	☐	☐	
Best Practice Scores – percentage of fidelity assessment items in each column				

Locus of Responsibility – Overall, who is responsible for the functioning and improvement of this implementation support?	
How could this support be strengthened?	

IDENTIFICATION AND USE OF DATA

Collecting, analyzing, and using data helps leadership and stakeholders make good decisions and is an important part of continuous quality improvement for innovations, implementation supports, and organization functioning. At a minimum, child welfare organizations have data collection and reporting systems for their case planning and case management processes and outcomes. A well-designed decision-support data system allows child welfare organizations to continually collect, organize, and analyze data about both child and family outcomes and innovation implementation.

Organizations evolve their decision-support data systems so information is immediately accessible and useful to practitioners, trainers, coaches, leadership, and stakeholders for short-term and long-term planning and improvement at practitioner and organizational levels. If data from the feedback loops (e.g., fidelity assessments, family feedback surveys) indicate needed changes, then the organization adjusts aspects of the system to improve effectiveness and efficiency of the implementation and the innovation.

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
The decision-support data system asks questions about and includes data elements related to short- and long-term child and family outcomes.	☐	☐	☐	
The measures included are socially important (e.g., child well-being, permanence, safety, academic achievement).	☐	☐	☐	
The decision-support data system includes fidelity assessment data for each practitioner.	☐	☐	☐	
The data included are reliable. Standardized data collection protocols are in place, and data gatherers are well-trained.	☐	☐	☐	

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
Data collection is integrated into ongoing practice routines.	☐	☐	☐	
Data are used to make decisions about needed improvements (e.g., services needed, training needed, coaching improvements, policy changes).	☐	☐	☐	
Data are analyzed and reported frequently and on a regular basis (e.g., weekly, quarterly).	☐	☐	☐	
Data reports are widely shared with relevant staff (e.g., caseworkers, supervisors, administrators).	☐	☐	☐	
Data reports are shared with other stakeholders, such as family members and community.	☐	☐	☐	
Accountability for data collection, analysis, reporting, and use for decision-making is clearly articulated and communicated.	☐	☐	☐	
Best Practice Scores – percentage of decision-support data system items in each column				

Locus of Responsibility – Overall, who is responsible for the functioning and improvement of this implementation support?	
How could this support be strengthened?	

LEADERSHIP AND STAKEHOLDER SUPPORTS

The critical role of leadership at organizational—and system—levels is widely acknowledged. Recent studies have found that leadership is not a person but many people engaging in different kinds of leadership behavior as needed to establish effective innovations and sustain them as circumstances change over time. In addition, leaders and staff within an organization need to work with stakeholders (including courts, advocates, partner agencies, and the community) to ensure the alignment of the child welfare system to specifically support the work of practitioners. Engaging stakeholders that can influence your ability to provide effective services is important to help create a generally supportive context in which effective services can be provided, maintained, and improved over the years.

Executive and implementation leaders make use of a range of data inputs to inform decision-making, prepare the organization for effectively implementing and sustaining the innovation, support the overall innovation and implementation processes, engage and communicate with staff and stakeholders, and keep staff organized and focused on the desired innovation outcomes. When leadership and stakeholder supports are working, careful attention is given to policies, procedures, structures, culture, and climate to assure alignment of these aspects of an organization and its systems with the needs of practitioners.

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
Leaders within the organization develop the vision for the initiative and refine and communicate this vision through shared language.	☐	☐	☐	
Leaders within the organization have continually looked for ways to align practices with the overall mission, values, and philosophy of the organization.	☐	☐	☐	
Leaders determine the supports and resources needed to facilitate the change process.	☐	☐	☐	
Leaders within the organization have established clear and frequent communication channels to provide information to practitioners and to hear about their successes and concerns.	☐	☐	☐	
Leaders within the organization have actively and routinely sought feedback from practitioners and others regarding supports for effective use of the innovation.	☐	☐	☐	
Leaders build and strengthen relationships with stakeholders and connect disparate groups and organizations.	☐	☐	☐	

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
Leaders within the organization have convened groups and worked to build consensus when faced with issues that were difficult to define or for which there was little agreement about how to proceed.	☐	☐	☐	
Leaders within the organization have been actively engaged in resolving any and all issues that got in the way of using the innovation effectively.	☐	☐	☐	
Leaders within the organization have provided specific guidance on technical issues when there was sufficient clarity about what needed to be done.	☐	☐	☐	
Leaders within the organization have been excellent at giving reasons for changes in policies, procedures, or staffing.	☐	☐	☐	
Leaders within the organization have been excellent at focusing on the issues that really matter at the practice level.	☐	☐	☐	
Leaders within the organization actively engage in developing a sustainability plan that maintains a clear vision.	☐	☐	☐	
Leaders within the organization actively engage stakeholders for the purposes of gaining buy-in, support, problem-solving, and barrier-busting.	☐	☐	☐	
Leaders within the organization engage and nurture stakeholders to be innovation champions.	☐	☐	☐	
A clear and defined communication process exists between leaders and stakeholders about implementation processes, successes, and challenges.	☐	☐	☐	

To what extent are the following best practices in place?	In Place	Partially In Place	Not In Place	Notes:
A regular and transparent process exists to receive constructive recommendations from stakeholders to help resolve barriers.	☐	☐	☐	
A defined process exists for the thoughtful and appropriate inclusion of stakeholders in decisions that affect sustainability of the innovation.	☐	☐	☐	
A regular and transparent process exists for stakeholders to identify how their organization, community, or group can assist in the effort to create a hospitable environment.	☐	☐	☐	
A regular and transparent process exists to actively engage stakeholders in reviews of and discussions about relevant innovation and implementation data and in action planning to strengthen the implementation of the innovation.	☐	☐	☐	
A regular and transparent process exists to ensure that stakeholders who are willing to join your efforts have real work to do and that there is follow-through.	☐	☐	☐	
Best Practice Scores – percentage of leadership and stakeholder support items in each column				

Locus of Responsibility – Overall, who is responsible for the functioning and improvement of this implementation support?	
How could this support be strengthened?	

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Discussing How to Use Data for Decision-Making

Overview

This chapter focuses on using data for decision-making, action planning, and improvement of implementation processes and procedures. It builds on information presented in the previous chapters in this section (Chapter 9.1: Key Indicators Guidance, and Chapter 9.2: Implementation Supports: Assessing Best Practices). These chapters introduce the various layers of data that are needed and available to help support the implementation of the innovation as intended. Familiarity with this information is necessary for full comprehension of this chapter.

Learning Objectives: This chapter will help to

- Clarify when different layers of data should be collected for decision-making
- Identify initial issues to discuss before using data for decision-making

Competencies: Meeting the learning objectives will develop foundational knowledge to share and use data to improve implementation and practice.

Data Considerations

When using data for decision-making, data teams should consider how often the data will be collected, analyzed, reported, and reviewed. They should also note that not all data need to operate on the same schedule. As with all aspects of successful implementation, data-specific activities and responsibilities require planning and attention. Thoughtful and dedicated efforts will ensure the regular completion and alignment of data activities with other implementation supports, such as the use of data by leadership and implementation teams for continuous improvement of implementation and innovation delivery.

Different schedules of data collection may be used for each layer, and variation within the layer is acceptable. General guidelines for how often the data from the various layers should be gathered are provided below. Data collection schedules should not drive the decision to analyze and report information. The focus should be on what information might be included in which reports.

Data for Layer 1

Layer 1 focuses on program outputs and implementation supports, including data related to selection, training, coaching, and fidelity assessment, and how the target population is receiving the innovation. This includes data related to both short- and long-term outcomes for the target population.

Data on training, coaching, and fidelity assessments may be collected and reviewed more frequently than data in Layers 2 and 3 (e.g., monthly), particularly when first implementing an innovation. It may make more sense to analyze and share outcome data, for example, on a quarterly or semi-annual basis, as that data may lag several months behind their reporting dates.

Data for Layer 2

Layer 2 data, related to the organizational and system supports, are less sensitive to change and probably do not need to be updated as frequently as the data in Layer 1. While the team may decide that some data in Layer 2 need to be updated more frequently, quarterly updating is a good place to start.

Data for Layer 3

Because the data in Layer 3 provides a high level overview, it is least likely to change and therefore does not need to be updated as frequently as data in Layers 1 and 2. Some data may need updating more frequently, but semi-annual or annual updates are standard.

Gathering Data

After determining the data collection schedule, the next step is to decide on a process for data gathering. Decisions to make include:

- How data will be organized and managed and who will manage it
- How data will be analyzed and who will analyze it
- How data will be reported and who will compile the reports
- How the reports will be communicated
  - Who will communicate the reports?
  - To whom the reports will be communicated?
  - Who determines what reports go where?
- How reports will be used by the teams (implementation, leadership, etc.) to make decisions and generate action plans

Reporting Data

Reports should be formatted to clearly communicate the information gathered from the data. Providing reports that everyone can understand allows for open discussion about what the data reveal.

Sharing Data

Data need to be communicated to key people. This means that the recipients of the reports need to have authority to make decisions about next steps and allocation of resources for that specific area of implementation. When appropriate, people involved in the data gathering process should be included, as well as other key stakeholders. They should also be informed about the progress of implementation.

Facilitating the Use of Data

Making sure that the right people get the reports in a readable format helps to facilitate the use of the data for discussion and action planning. It can help the implementation process to continue smoothly in areas where data indicate few or no barriers. Effective distribution of data also facilitates discussion and prompts action planning in areas where the data indicate the need for attention, additional resources, or adjustment of related policies and/or procedures. Remember, while organizations will ultimately use the data they gather in different ways, the overarching goal is to use the data to make decisions and generate action plans to improve implementation capacity, infrastructure, processes, and the innovation itself. The Appendix at the end of this volume includes an example of an action plan developed by a child welfare agency. The Appendix for Volume 3 of the Guide includes examples of using data to improve implementation.

Test Your Understanding

The following questions will test your understanding of the concepts in Section 9. An answer key is provided at the end of this volume.

Use the following information to answer questions 1-4. An organization has begun data collection for a new innovation that was recently implemented. The implementation team is using the Decision Support Data System Decision Template to keep track of the questions the organization wants to know about each of the layers of data.

1. Below are a few of the questions the team brainstormed for Layer 1. All of the following belong except:

- ☐ a. How many of the clients have received a certificate indicating they have graduated from the innovation?
- ☐ b. How do practitioners feel about the coaching they are receiving?
- ☐ c. Is the organization using the data it collects to improve staff training and coaching?
- ☐ d. Are the new hires delivering the innovation as intended?

2. A good example of data that a team might want to know about Layer 2 of the template is:

- ☐ a. Results from the post test administered after each training
- ☐ b. Frequency of leadership team meetings
- ☐ c. Data from staff fidelity assessments
- ☐ d. Clients opinion on the innovation

3. Please select the question the team might ask when brainstorming about Layer 3:

- ☐ a. Are enough practitioners using the innovation as intended to meet the needs of the target population?
- ☐ b. Did the innovation result in a decreased recidivism rate?
- ☐ c. Does the implementation team have a document that serves to describe how members interact with each other and with other teams?
- ☐ d. How often are satisfaction surveys distributed to clients?

4. For each layer, users should ask two questions: “What do you want to know?” and “How are you going to know it?” When trying to figure out how to answer the second question, the implementation team may discover it doesn’t have the data needed to completely answer the question. It can (choose all that apply):

- ☐ a. Figure out what it needs to do to track the needed data
- ☐ b. Partner with another organization
- ☐ c. Decide not to answer that question
- ☐ d. Revise the training curriculum

5. Data collection for Layer 1 focuses on two major categories. They are:

- ☐ a. Fidelity assessment and organizational functioning
- ☐ b. Functionality of the leadership and stakeholder involvement
- ☐ c. Evaluation data and functioning of the implementation team
- ☐ d. Implementation supports and service provision

6. The data gathered from Layer 1 could be used to:

- ☐ a. Decide whether the team charter needs to be revised
- ☐ b. Determine whether the innovation is currently in the installation or initial implementation stage
- ☐ c. Determine whether there are enough clients enrolled to plan for expansion of the innovation
- ☐ d. Decide whether the implementation supports need to be improved

7. The data from Layer 1 could also be used for all of the following except:

- ☐ a. Determining how practitioners feel about the new innovation
- ☐ b. Determining whether the right stakeholders are actively involved in the innovation
- ☐ c. Deciding whether additional revisions to the interview protocol are needed
- ☐ d. Determining whether fidelity assessments are being completed on schedule

8. A good way to determine whether the innovation is achieving the desired long-term effect on the target population is to examine:

- ☐ a. Layer 1 data
- ☐ b. Layer 3 data
- ☐ c. Coaching satisfaction surveys
- ☐ d. The team charter

9. The data gathered from Layer 2 could be used to determine:

- ☐ a. The number of clients who have dropped out
- ☐ b. Whether the implementation team communicates regularly with leadership to address barriers
- ☐ c. The number of practitioners who completed training
- ☐ d. Whether families are doing better after receiving the innovation

10. The data gathered from Layer 3 could be used to:

- ☐ a. Determine whether practitioners find training and coaching helpful
- ☐ b. Determine whether the community stakeholders need a larger role in implementation activities
- ☐ c. Determine how often fidelity assessment data are gathered
- ☐ d. Determine whether the front line workers who participate in coaching are better able to deliver the innovation as intended

11. The Implementation Supports: Assessing Best Practices Survey is designed to assess how well the implementation supports are in place. The results from the survey can be used:

- ☐ a. As a matrix for assessing individual practitioner performance
- ☐ b. As a way to assess client progress with the innovation
- ☐ c. Interchangeably with the fidelity assessment
- ☐ d. To inform decision making and action planning

12. The innovation an organization recently implemented requires front line workers to learn an innovation for use with parents of teenagers. All of the following could respond to the Implementation Supports: Assessing Best Practices Survey except:

- ☐ a. Front line workers
- ☐ b. Implementation team members
- ☐ c. Innovation developers
- ☐ d. Training and coaching team members

13. Frequency of data collection can vary based on the layer of data. For example, some data in Layer 1 should probably be collected monthly while some of the data in Layer 2 may only need to be collected quarterly. The frequency of data collection is often linked to:

- ☐ a. The likelihood of the data to change
- ☐ b. The theory of change
- ☐ c. The ability of the organization to analyze the collected data
- ☐ d. The innovation of the leadership

14. Why is it important to have a clear data collection schedule and a clear way of reporting and sharing data? (Choose all that apply)

- ☐ a. So key people have the information they need to make decisions about next steps
- ☐ b. To facilitate action planning
- ☐ c. To ensure recipients have the authority to make relevant decisions
- ☐ d. All of the above

SECTION 10

Plan for Sustainability

Ideally, planning for sustaining the innovation and the implementation infrastructure—that is, providing what is needed so the innovation can continue to function effectively—is an active component of every stage of the implementation process. The two chapters in this section clarify the link between sustainability and a strong implementation infrastructure. They discuss central concepts and key elements of sustainability and provide guidance for drafting a sustainability plan. This section includes a quiz to test understanding of the materials and a Sustainability Planning Tool to support the development of a sustainability plan. The Appendix at the end of this volume includes an example Sustainability Plan.

Overview of the Concepts and Key Elements

Overview

The previous section emphasized the importance of monitoring and assessing innovation and implementation supports through the use of data. This chapter provides an understanding of the basics of sustainability planning as they apply to child welfare innovations. It also provides an overview of sustainability categories and concepts, and key elements of sustainability.

Learning Objectives: This chapter builds fundamental knowledge to

- Understand the reason for sustainability planning
- Identify three categories for sustainability planning
- Identify the 10 key elements of sustainability planning

Competencies: Meeting the learning objectives will develop understanding of the factors that influence program sustainability.

Key Terms

Sustainability - The capacity of initiatives, programs, and practices to: (1) continuously respond to population and community needs, and (2) sustain and improve outcomes and the conditions necessary to achieve those outcomes

What Is Sustainability Planning?

The goals of sustainability planning are to:

- Meet the ongoing needs of the target population and community.
- Sustain and improve the innovation and implementation supports.
- Sustain and improve desired outcomes and the conditions necessary to achieve those outcomes.

Achieving desired outcomes involves building the implementation supports necessary to deliver the innovation. Sustainability planning should be an active component of every phase of implementation. Leadership and implementation teams should consider sustainability when making decisions throughout the life of an innovation.

What Will Be Sustained?

As leadership and the implementation team continuously plan for sustainability, they need to define what will be sustained, meaning what is the “it” or innovation that will be sustained. After the “it” is defined, key stakeholders will make decisions about the necessary implementation supports, infrastructure, and funding.

Categories of Sustainability

Sustainability involves attention to three important categories:

- The *implementation infrastructure and processes* that must be embedded into the everyday work of people and organizations. Examples include: training, coaching, fidelity, and the identification and use of data for continuous quality improvement and other decision-making and action planning.
- The *necessary organizational infrastructure and processes* that ensure an administrative foundation for the innovation or service and the ongoing practices and policies for effective implementation. Examples include: leadership, organizational and community partnerships, organizational culture, and communication protocols and systems to support data-based decision-making.
- The *fiscal strategies and resources* that are required to fund direct services and staff, and organizational resources needed for effective implementation of an innovation or service. Examples include: diversified funding, personnel, and technologies.

Key Elements of Sustainability

Evidence and experience with sustainability planning suggest attention to an overall set of key elements to address the three categories. Across numerous models, frameworks, and methods, the following 10 keys to sustainability, depicted in the graphic below, apply.

These elements are functions of implementation and, when developed systematically, translate into strong implementation practices. The elements are grouped into four implementation goals below, but they are not mutually exclusive to those goals. Although leadership may be engaged in developing and maintaining support, for example, it may also be preparing the way for organizational functions, such as developing a new policy that will require an adjustment to the organizational system. With that in mind, this grouping may clarify how activities related to these 10 key elements will help to sustain an innovation.

Developing and Maintaining Support

- **Engaging Leadership:** Leadership and other stakeholders play active roles in ensuring that innovations and desired outcomes are defined, measured, and shared, and that processes

to support the innovations are adopted to achieve success. Overall, leadership plays a critical and active role in removing barriers and promoting problem-solving to create "hospitable" environments that support an innovation. Sustainability "champions," both inside and outside the organization, can help to address system issues, advocate for the program, and garner resources.

- **Building Relationships, Creating Partnerships:** Alliances with funders, program staff, and community leaders who support the program or innovation's goals and vision help to increase stakeholder involvement and leverage additional support and funding resources. These connections and partnerships should be established early and cultivated throughout the lifecycle of the program or innovation (leadership and stakeholder supports are covered in Section 7).

- **Clarifying a Vision of Success:** Making a concise and compelling case for sustainability requires a clearly defined vision of what an innovation can accomplish and improve. If the concept, purpose, and implementation supports necessary to maintain the innovation are vividly articulated, shared, and marketed, they are likely to convince people to support the effort.

Ongoing Use of Data

- **Tracking and Monitoring Data and Other Information:** Decisions about what to continue, what to eliminate, how to support it, and what to adjust and change are based on actual data and information about effective implementation, not best guesses or wishful thinking. Continuous tracking and monitoring tells the story of the innovation's implementation and creates a strong foundation for ongoing analysis of its relationship to outcomes (Section 7: Develop or Adapt Implementation Supports provides information on tracking and monitoring data and other information).

- **Using Data and Other Information:** Using data to understand what is or is not working will often involve outcome and implementation information. It is critical to regularly examine available data—about implementation, outputs, and impacts—to determine early indicators of improvement and to make a case for or against sustainability. If an innovation is part of a formal evaluation, evaluation protocols may prevent teams from sharing or using outcome data until final results are in, so they will need to find other compelling ways to tell their story while planning for sustainability. For example, fidelity data demonstrating that the innovation is being delivered as intended or other implementation data may provide early indicators of success and bolster a case for sustainability.

- **Focusing on Outcomes:** When planning for sustainability, it is important to keep the emphasis on sustaining or improving outcomes for the target population. In a developmental innovation where evidence of effects is unknown and/or pending, sustainability planning will probably focus on implementation supports. If evidence of improved outcomes is available, sustainability planning can focus on sustaining the infrastructure to maintain the innovation and continue the positive outcomes. This may include, for example, institutionalizing coaching, strengthening policies and practices, or analyzing fidelity data for clues about which essential functions have the highest fidelity and may be associated with maintaining the positive outcomes.

- **Demonstrating Effects and Sharing Results:** Data and information about the innovation—and the implementation supports needed to put them fully and effectively in place—can be used to identify successes and explain the differences resulting from the innovation. Evidence and demonstrations may take various forms (e.g., charts, slides, narratives, or testimonials) and should include information that is important to listeners. Strategic communications

occur both inside and outside the organization, and include staff, stakeholders, and the public. They help to generate interest, demonstrate mutual values, and secure and maintain fiscal support.

Adjusting Organizational Infrastructure

- **Creating and Changing Systems:** Sustainability requires attention to the infrastructure and systems, including policies, procedures, and practices to ensure that the innovation and the necessary implementation supports are launched and that they maintain effective service as intended. This may include determining how to institutionalize new positions, provide coaching services, and gather community partnerships and feedback.

Preparing for Sustainability

- **Diversify Funding and Financing:** An organization must explore a variety of financial strategies and revenue streams so that direct services and implementation supports can be funded at appropriate levels. It is too risky to rely on a single and possibly finite source of funding. Organizations must pay attention to funding options and guidelines as policies are developed.

- **Planning for Sustainability:** It is never too early to examine issues and identify next steps for sustainability. Planning teams should include diverse sets of leaders and stakeholders, including program staff, continuous quality improvement staff, and key partners. Planning documents will include information about what will be sustained, objectives, potential strategies, action steps, timelines, roles and responsibilities of key partners, and ideas for monitoring and determining progress.

The Appendix includes a set of case examples that represent a range of scenarios that draw on the various aspects of sustainability described above.

Making the Case and Drafting a Sustainability Plan

Overview

The previous sections focused on building sound supports for an innovation so organizations can plan and prepare for sustainability efforts. This chapter provides criteria and questions for making a case for sustainability as a starting point for sustainability planning. Considering which of the 10 key elements discussed in the first chapter in this section (see Chapter 10.1: Overview of the Concepts and Key Elements) may be most significant to an organization's sustainability plan helps to clarify where energies should be focused. The Sustainability Planning Tool at the end of this chapter provides an opportunity to gather information that may be included in a sustainability plan.

Learning Objectives: This chapter helps to

- Identify reasons to sustain or not sustain an innovation
- Use criteria to make a case for sustaining an innovation
- Draft a sustainability plan

Competencies: Meeting the learning objectives, will develop foundational knowledge to

- Understand the factors that influence when to continue or discontinue a program
- Create and execute plans to effectively sustain programs beyond their initial funding period

Which Innovations Should Be Continued and Why?

If an innovation has been successfully implemented, and the implementation team sees evidence that it is benefitting the target population, a case can be made for sustaining it. Evidence may consist of outcome data that indicate the desired outcomes for the target population are being achieved. This evidence will be shown by data indicators and outcome measures, or the results of rigorous evaluations.

Data pertaining to outcomes might not be available when leadership or implementation teams are trying to determine whether to sustain a program. Outcome data are not always necessary to make a case for sustainability. For example, a developmental innovation supported by qualitative evidence of fidelity to the model may be sustained to allow more time for evidence of outcomes, if it is anchored in a need-based and coherent theory of change, has strong communication linkages with community stakeholders, aligns with organizational practices and strategic plans, and shows early indicators that it is meeting needs.

Not All Innovations Should Be Sustained

There are many reasons for not sustaining an innovation. Sometimes, an innovation accomplishes its initial goals, and the need for it no longer exists. If an innovation does not achieve its intended outcomes, sustaining it may not be in the best interest of the target population. If an innovation does not achieve intended outcomes, it is important to first assess the extent to which the innovation was implemented as designed. If it is determined that the innovation was implemented as intended and is failing to meet the needs of the target population, the innovation should be reconsidered. It may be determined, for example, that the theory of change does not fit the definition of the problem. In this case, the theory of change should be revised and the innovation re-examined and adapted to align with the new theory of change.

Sometimes, parts of the innovation should be sustained and other parts not sustained. If parts of the innovation will not be sustained, managing that transition effectively is important, as is thinking carefully about:

- Which parts will not be sustained? Why?
- Who needs to know? How will they be informed? When?
- What is the best way to minimize the effect on service recipients, organization and staff, and community partners?

Use Criteria to Make a Case

Using criteria to make a case for or against sustaining the innovation can be very helpful, especially when data are not yet available to fully understand the impact of the innovation on the target population. The criteria apply to aspects of implementation supports necessary to deliver the innovation as intended in order to achieve desired outcomes. These criteria can inform the decision about whether and how to sustain an innovation, some carrying more weight than others. The questions provided offer a set of sample prompts to explore each criterion.

The criteria to examine are:

Rationale (*logic model, theory of change*)

- How is this innovation addressing key aspects of the problem?
- How is the innovation attending to crucial population needs?
- What levels (e.g., individual, system) is the innovation addressing?
- How are implementation supports designed to assist delivery of the innovation as intended to achieve outcomes?

Effects/Evidence

(Note: Levels of research, formal evaluation, and/or ongoing monitoring and feedback vary by project, so the form and the extent to which the following are available will also vary)

- What are the outputs and outcomes of this innovation to date?
  - Human dimension (early effects and distal outcomes)
  - Organizational outcomes (fidelity)
  - Economic dimension (return on investment)
  - Legal

Community Buy-In/Support (*social dimension*)

- How is this innovation cultivating connections with community stakeholders and organizations?
- How involved are local decision-makers in the innovation and/or the implementation supports to ensure its delivery?
- How is this innovation integrated with community competencies and resources?
- How is the innovation aligned with community goals and support?
- How committed are community members and organizations to continuing this innovation?
- How are those sponsoring and involved in this innovation paying attention to community input regarding progress and challenges?

Political Will (*internal and external constituents*)

- How supportive are internal and external stakeholders and systems to this innovation?
- How does this innovation fit, leverage, support, and/or duplicate broader initiatives already underway?

Organization (*priorities, policies/practices, leadership, resources, infrastructure*)

- How does this innovation help the organization achieve policy goals and objectives?
- How is this innovation aligned with organizational supports (at various levels)?
- How are those sponsoring and involved in this innovation regularly monitoring and paying attention to progress and challenges?
- How are those sponsoring and involved in this innovation regularly using data about implementation to make adjustments and improve delivery/fidelity?
- How is this implementation support (specify) addressing or strengthening a way for the organization to demonstrate its effect and that an innovation is in place?
- What financial, organizational, and human resources are already committed to this innovation? (availability, feasibility)

Making the Case: Strong Implementation Practices

Communicating evidence of strong implementation practices helps make the case for sustaining an innovation. Describing adjustments to the organizational infrastructure and processes and showing which ones are important for making and sustaining change demonstrate how an agency is building the implementation supports that are critical for sustaining long-term benefits. This may convince leadership and funders to continue supporting the innovation before proof of success is available.

Some of these implementation practices include:

- Creation of an organizational climate hospitable to implementing an innovation
- Improved infrastructure for implementing an innovation
- Enhanced continuous quality improvement (CQI) processes
- Identification, collection, and use of data to track and report on outputs, outcomes, and implementation supports
- Enhanced fidelity monitoring processes
- Established partnerships with external stakeholders

Developing a Sustainability Plan

While sustainability planning begins when deciding what innovation to implement, the development of a sustainability plan occurs when deciding whether or what parts of the innovation to sustain. Like any complex endeavor, successful sustainability requires a plan. The sustainability plan should include or discuss:

- **Objectives:** What does the organization want the sustained innovation to achieve?
- **Evidence:** What indicates that this innovation should be sustained?
- **Potential strategies:** What are the strategies for reaching those objectives?
- **Action steps:** What steps need to be taken to sustain the innovation?
- **Timelines:** What are the timelines?
- **Roles and responsibilities of key partners:** Who will be involved and what are their responsibilities?
- **Ideas for monitoring and determining progress:** How will the team monitor sustainability activities and determine progress?
- **Cost:** What will it cost to sustain the innovation?
- **Support:** Whose help is needed to sustain the innovation?
- **Context:** What other systems change initiatives are in process in our jurisdiction? How can an innovation be built into other on-going initiatives?

Sustainability plans may be documented using a variety of different formats, yet all should include objectives,

strategies, action steps, timelines, persons responsible for various tasks, and ways to determine progress.

Preliminary Considerations

When planning to sustain an innovation, it is important to define the "it," or what will be sustained (much like early innovation development). The following preliminary discussion questions should help with this process:

- In what ways has this innovation improved outcomes? (These activities likely include a combination of program or service aspects and implementation supports.)
- What is the context of the innovation, such as population, community, and/or organization?
- Who is it helping? How is it helping them? What is known about early indicators of effects? How is it known?
- What, if anything, will change if or when the team decides the innovation will be sustained (for example, will any of these change: administrative home, data collection, innovation design, or population)? How will those changes affect implementation efforts?
- If evidence of effects is not yet available, is there new information about evidence-supported innovations to meet the needs of the target population? Is there information that may have been overlooked in previous research efforts?
- If a program developer or expert has supported implementation efforts, what will be the ongoing role of the program developer or expert?

Remember the Categories of Sustainability Planning

When brainstorming a sustainability plan, questions about these categories will apply to both the innovation and implementation supports. The categories are:

- Implementation infrastructure and processes
- Organizational infrastructure and processes
- Fiscal strategies and resources

Implementation Infrastructure and Processes

Discussion questions can help to determine the implementation supports that need to be embedded into the everyday work of an organization and its staff to support full and effective use of an innovation. The questions below may guide discussion about the following four supports:

Training and Coaching

- What are the benefits of continuing training and coaching?
- What would be lost if training and coaching does not continue?

Identification and Use of Data for Decision-Making

- What would be lost if gathering and tracking information about implementation supports, fidelity, and effects of the program or service do not continue?
- What data elements related to implementation supports, fidelity, and effects should continue to be measured and examined? Why?

Fidelity Assessment Processes

- What components of the fidelity assessment process can be embedded into the current system? Who should be involved? How?
- What about this fidelity assessment process will require adjustments to continue?

Evaluation

- If the intervention has been undergoing a rigorous outcome evaluation, will that continue? Will the organization convert to a CQI/fidelity monitoring type of evaluation?
- If the organization has been working with an external evaluator, will that continue, or will internal evaluation capacity need to be developed?

Organizational Infrastructure and Processes

Organizational infrastructure and processes include the administrative home for the innovation; the organizational supports required to implement it; and ongoing practices, processes, and internal and external policies that need to be in place for an organization to maintain an innovation and support its continued implementation.

Infrastructure and processes include:

- Administrative Home
- Organizational Protocols and Practices
- Leadership Engagement
- Community Partnerships
- Organizational Partnerships
- Strategic Communication Protocols and Practices
- Data-Based Decision-Making

Sample questions that may guide discussion for a few of these processes include:

Administrative Home

- Where will this innovation reside on a permanent basis? What makes sense or is available?
- Who will govern the project?

Organizational Protocols and Practices

- What people and processes are needed in the system to maintain teaming and link teams at different levels of the organization?
- How might a relationship with a program developer who manages some of this work need to stay the same or change, both functionally and fiscally?

Community Partnerships

- Who is this work connected to and why?
- What partnerships need to continue and why?

Fiscal Strategies and Resources for Sustainability

Developing plans for sustaining an innovation will include determining what financial strategies and resources are needed to fund direct services. Staff and organizational resources necessary for effective on-going implementation of an innovation must be considered. Possible questions may include:

Direct Services

- What personnel, technologies to assist personnel, and other resources are necessary to carry out the innovation?
- What else needs to be created or changed to continue the innovation?
- What will be the annual cost to sustain the innovation, factoring in direct services as well as the implementation and organizational infrastructure?

Implementation and Organizational Infrastructure

- What staff, technologies, organizational processes, and other resources are necessary to sustain implementation and organizational infrastructure?
- What funding may be needed to support the ongoing work of an existing program developer or expert?
- What funding may be needed to support the ongoing work of an existing program evaluator?

Funding Streams

- What are the implications for budgeting current innovation work and work planned for the future?
- What existing opportunities might be available to incorporate funding for implementation supports?

Sustainability Planning Tool

The Sustainability Planning Tool on the following pages is intended to help plan for sustaining an innovation and the implementation infrastructure. It can be used as a discussion template for gathering information that will potentially be included in a sustainability plan.

SUSTAINABILITY PLANNING TOOL

FROM THE *GUIDE TO DEVELOPING, IMPLEMENTING, AND ASSESSING AN INNOVATION, VOLUME 5*

The following tool provides questions to help you gather the information you may need to include in your sustainability plan. This tool provides a way to brainstorm answers to the questions that are key to planning for sustainability, but the completed Sustainability Planning Tool does not constitute your sustainability plan. Every sustainability plan looks different, depending on the organization and the innovation to be sustained. Sustainability plans may be documented using a variety of different formats, yet all should include or discuss:

- Objectives that the sustained innovation should achieve
- Evidence that the innovation should be sustained
- Potential strategies for reaching the outlined objectives
- Action steps to sustain the innovation
- Timelines
- Roles and responsibilities of key partners
- Ideas for monitoring and determining progress
- Cost estimates of sustaining the innovation
- An outline of whose help is needed to support the innovation
- Context for other systems change initiatives that are in process in the same jurisdiction and how the innovation can be incorporated into other on-going initiatives

The Sustainability Planning Tool is split into two parts. Part I addresses the preliminary considerations that need to be discussed before beginning to draft a plan. Part II addresses the three categories of sustainability planning (implementation infrastructure and processes, organizational infrastructure and processes, and fiscal strategies and resources). After discussing the questions in the column on the left, write answers to or thoughts about those questions in the column on the right.

This tool may be used in two ways:

1. ***Print the following pages and use them as a discussion guide with your team. Write your answers in the space provided.***

2. ***Type your information into the space provided and save to your computer. This will allow you to print the completed document or e-mail it to your team members.***

Part I: Preliminary Considerations

In what ways has this innovation improved outcomes? (These likely include a combination of program or service aspects and implementation supports.)	
What is the context of the innovation, such as population, community, and/or organization?	
Who is it helping? How is it helping them? What is known about early indicators of effects? How is it known?	
What, if anything, will change if or when you decide the innovation will be sustained? (For example, will any of the following change: administrative home, data collection processes, innovation design, or target population?) How will those changes affect implementation efforts?	
If evidence of effects is not yet available, is there new information about evidence-supported innovations to meet the needs of the target population? Is there information that may have been overlooked in previous research efforts?	
If a program developer or expert has supported implementation efforts, what will be the ongoing role of the program developer or expert?	

Part II: Three Categories of Sustainability Planning

The three categories of sustainability planning addressed in this tool are Implementation Infrastructure and Processes, Organizational Infrastructure and Processes, and Fiscal Strategies and Resources for Sustainability.

IMPLEMENTATION INFRASTRUCTURE AND PROCESSES

The following discussion questions can help to determine the implementation supports that need to be embedded into the everyday work of an organization and its staff to support full and effective use of an innovation.

Training and Coaching	
What are the benefits of continuing training and coaching?	
What would be lost if training and coaching does not continue?	
Identification and Use of Data for Decision-Making	
What would be lost if gathering and tracking information about implementation supports, fidelity, and effects of the program or service do not continue?	
What data elements related to implementation supports, fidelity, and effects do we need to keep measuring and examining? Why?	
Fidelity Assessment Processes	
What components of the fidelity assessment process can be embedded into the current system? Who should be involved? How?	
What about this fidelity assessment process will require adjustments to continue?	

Evaluation	
If you have been undergoing a rigorous outcome evaluation, will that continue? Will you convert to a CQI/fidelity monitoring type of evaluation?	
If you have been working with an external evaluator, will that continue, or will you need to develop internal evaluation capacity?	

ORGANIZATIONAL INFRASTRUCTURE AND PROCESSES

Organizational infrastructure and processes include the administrative home for the innovation; the organizational supports required to implement it; and ongoing practices, processes, as well as internal and external policies that need to be in place for an organization to maintain an innovation and support its continued implementation. The following questions will help guide this discussion.

Administrative Home	
Where will this innovation reside on a permanent basis? What administrative home makes sense or is available?	
Who will govern the project?	
Organizational Protocols and Practices	
What people and processes are needed in the system to maintain teaming and link teams at different levels of the organization?	
How might a relationship with a program developer who manages some of this work need to stay the same or change, both functionally and fiscally?	

Leadership Engagement	
Who will be responsible for problem-solving to guide implementation?	
What will be the teaming structure?	
Community Partnerships	
Who is this work connected to and why?	
What partnerships need to continue and why? Who else needs to be involved?	
Organizational Partnerships	
To whom is this work connected and why?	
What internal and external partnerships need to continue and why? Who else needs to be involved?	

Strategic Communication Protocols and Practices	
What policies or procedures need to be developed for the intervention to be sustained? This could relate to the intervention itself or the ongoing supports for implementation (i.e., teaming structure, data, continuous quality improvement, communication).	
How will these policies and procedures be formalized, integrated, known, and shared?	
Data-based Decision-making	
Where are data going to be entered and stored?	
How are data going to be gathered?	
How are data going to be organized and analyzed? What is the process for sharing the data and interpreting what the data mean? Who will be responsible for this work?	

FISCAL STRATEGIES AND RESOURCES FOR SUSTAINABILITY

Discussing plans for sustaining an innovation will include determining what financial strategies and resources are needed to fund direct services. Staff and organizational resources necessary for effective on-going implementation of an innovation must be considered.

Direct Services	
What personnel, technologies to assist personnel, and other resources are necessary to carry out the innovation?	
What else needs to be created or changed to continue the innovation?	
What will be the annual cost to sustain the innovation, factoring in direct services as well as the implementation and organizational infrastructure?	

Implementation and Organizational Infrastructure	
What staff, technologies, organizational processes, and other resources are necessary to sustain implementation and organizational infrastructure?	
What funding may be needed to support the ongoing work of an existing program developer or expert?	
What funding may be needed to support the ongoing work of an existing program evaluator?	
Funding Streams	
What are the implications for budgeting current innovation work and work planned for the future?	
What existing opportunities might be available to incorporate funding for implementation supports?	

Test Your Understanding

The following questions will test your understanding of the concepts in Section 10. An answer key is provided at the end of this volume.

1. When planning for sustainability, it is important to first:

- ☐ a. Recruit a group of key stakeholders
- ☐ b. Clearly define the "It" to be sustained
- ☐ c. Draft a coaching service delivery plan
- ☐ d. Find a funding source

2. Goals of sustainability planning include all of the following except:

- ☐ a. Meeting community needs
- ☐ b. Using the innovation with a completely new target population
- ☐ c. Improving the innovation and its implementation supports
- ☐ d. Sustaining the desired outcomes

3. When planning for sustainability, ensuring the innovation resides in the appropriate division within the organization and that a team is established to continue to lead implementation and make improvements are examples of which category of sustainability?

- ☐ a. Organizational infrastructure and processes
- ☐ b. Implementation infrastructure and processes
- ☐ c. Fiscal strategies and resources
- ☐ d. Engaging leadership and building relationships, creating partnerships

4. Using actual data and information gathered about effective implementation can help to:

- ☐ a. Make a decision about what components of the innovation to continue and what to eliminate
- ☐ b. Create a strong foundation for ongoing data analysis
- ☐ c. Make a decision about what implementation supports to adjust or change
- ☐ d. All of the above

5. Addressing barriers to implementation by developing solutions during initial implementation and adjusting supports for training, coaching, and data collection during full implementation are examples of which of the key elements of sustainability?

- ☐ a. Using data and other information
- ☐ b. Clarifying a vision of success
- ☐ c. Creating and changing systems
- ☐ d. Engaging leadership and building relationships, creating partnerships

6. An implementation team is in charge of gathering information about the implementation supports and innovation outcomes of a recently implemented innovation and presenting them in a strategic way to interested parties within and outside of an organization. The point of the graphs, presentations, and testimonials the team creates is to generate interest in and a reason to sustain funding for the innovation. This is an example of which of the key elements of sustainability?

- ☐ a. Demonstrating effects and sharing results
- ☐ b. Diversifying funding and financing
- ☐ c. Planning for sustainability
- ☐ d. Using data and information

7. It is not good enough to start planning for sustainability after all of the outcomes are known and it is clear whether an innovation was effective. Planning for sustainability needs to be an active component throughout the implementation process. Why?

- ☐ a. It can affect the decisions made about implementation supports
- ☐ b. It can affect the decisions made about funding the innovation
- ☐ c. It can affect decisions about creating the innovation infrastructure
- ☐ d. All of the above

8. While it is always useful to plan for sustainability of an innovation, it is important to note that not all innovations should be sustained. Which of the following is the best example of a reason why an innovation should not be sustained?

- ☐ a. Outcomes indicate that an innovation designed to prevent child maltreatment with new, young parents and implemented with fidelity was unsuccessful.
- ☐ b. Another, similar organization in another state decided the innovation did not meet the needs of their target population.
- ☐ c. A few practitioners in the organization decided they did not like the innovation because it required them to attend a secondary training.
- ☐ d. Data indicated that one of the early implementing units had low fidelity scores.

9. In addition to the impact the innovation had on the target population, criteria to make a case for sustaining the innovation could involve the use of which of the following (choose all that apply):

- ☐ a. Testimonials from clients about how helpful the innovation was
- ☐ b. Support from internal and external stakeholders
- ☐ c. Confirmation that the innovation addresses an identified need
- ☐ d. All of the above

10. When deciding whether to sustain an innovation, it is important to be clear about what components of the innovation to sustain and how to sustain the organizational and implementation infrastructure. The team must determine if anything will change after deciding the innovation should be sustained. All of the following are examples of what might change when planning for sustainability except:

- ☐ a. The population being served
- ☐ b. The need for a fidelity assessment
- ☐ c. Where training competency test results are stored
- ☐ d. Which department administers the innovation

VOLUME 5: TEST YOUR UNDERSTANDING ANSWER KEY

Section 9

1. c
2. b
3. a
4. a,b
5. d
6. c
7. b
8. a
9. b
10. d
11. d
12. a
13. a
14. d

Section 10

1. b
2. b
3. a
4. d
5. f
6. a
7. d
8. a
9. d
10. b

Volume 5: Appendix

WCDSS SAFE-FC Implementation Drivers Assessment Action Planning Template

Action Planning Team Members: Jim Durand & Dena Negron (WCDSS), A. Metz (TTAP/NIRN), and Cathy Welsh TTAP/CSF). Reviewed by the WCDSS ILT on 5-23-13.
Submission Date: 5-29-13

Section 1 - Competency Drivers

Cross Site Survey Results - Chart 1

Composite Scores and Averages	In Place	Partially in Place	Not in Place	Don't Know	*Composite Score (0-2 scale)
Competency Drivers	**55.4%**	**17.2%**	**10.2%**	**17.2%**	**1.51 (1.68)**
Selection	43.4%	15.8%	19.7%	21.1%	1.30 (1.11)
Training	80.6%	9.4%	1.4%	8.6%	1.85 (2.00)
Coaching	67.2%	14.2%	8.2%	10.4%	1.63 (1.83)
Performance Assessment	39.6%	29.5%	5.4%	25.5%	1.43 (1.78)

***** NIRN Initial Drivers Assessment Scores noted in ()

DRIVER: **COMPETENCY – Recruitment and Selection of Staff**
What data sources are being used for action planning?

(1) Washoe County PII Readiness and Organizational Climate Re-Assessment Survey (RYC/December 2012); (2) Initial Implementation Drivers Assessment Survey (NIRN/January 2013); and (3) Implementation Capacity Assessment Survey (RYC/May 2012); 4) PII Cross-Site Drivers Assessment (JBA/March 2013).
What have the data indicated are strengths and challenges related to this Driver?

(1) The selection of practitioners, organization staff, and administrators with characteristics needed to complete their roles and job responsibilities are important implementation drivers required for a successful implementation. Results from initial survey indicated that staff from both WCDSS and the Children's Cabinet was committed to the field of child welfare/human services, as well as their respective organizations, as indicated by the average scores obtained from the organizational/career commitment subscales. Results from the re-assessment continued to show high levels of commitment by both WCDSS and Children's Cabinet staff; however, attitudes about supervisors' responsiveness and competence, role overload, and emotional exhaustion were perceived less positively, particularly by WCDSS employees. These findings may be a result of the manner in which workers were selected to participate in SAFE-FC, and suggests that caseworkers are finding it difficult to adjust to their changing role(s) in order to successfully implement SAFE-FC.

(2) For the purpose of the evaluation, SAFE-FC workers were randomly assigned to treatment and control positions. Therefore, Washoe did not have the ability to install some best practices for selection. Taking these limitations into account, Washoe still generated some areas for improvement for this driver. It was recommend that Washoe formalize the use of established selection criteria for the replacement rotation

and use exit data to feedback to section criteria (and to establish selection processes in the future). It was also noted that Washoe should continue to build on the skill-based, mutual selection process used to hire/redeploy SAFE-FC supervisors (there has been an emphasis on skill, rather than just "interest" for supervisor positions and this best practice should be continued). Finally, it was noted that due to random assignment, Washoe will need to continue to compensate for other characteristics deemed important for SAFE-FC implementation if not present in workers assigned to SAFE-FC treatment group including a high level of self-awareness, empathic understanding, optimism and open-mindedness, and motivation. Composite score average 1.11 (0 to 2 range; target is equal or greater than 1.5). In Place = 11%, Partially in Place = 89%.

(4) A significant proportion of respondents are unsure whether various best practices in staff recruitment and selection are in place or not, but responses among those who are familiar with these processes suggest that less than half of the best practices in staff recruitment and selection are fully in place.

There is a high level of agreement among respondents that staff recruitment and selection are very important to the desired outcome of SAFE-FC, yet there is also a significant amount of doubt that qualified staff members who will be able and willing to learn the new intervention will be selected. What is the aim or purpose of strengthening this Driver?
Enhance the Agency's capacity to select and develop staff that has the competency to deliver the intervention with fidelity.
What is the plan to strengthen the Driver?

Washoe will need to continue to compensate for other characteristics deemed important for SAFE-FC implementation if not present in workers assigned to SAFE-FC treatment group including a high level of self-awareness, empathic understanding, optimism and open-mindedness, and motivation.

What will be done (brief description)?	Who will do it?	By When?
Change in the interview process for hiring new employees	Agency supervisors and Division Director	Initial revision has been completed and being tested in the months of May and June 2013
Assigning new hires within a six week time period to either the assessment or permanency program for ongoing training purposes	Training supervisor, senior social workers and Division Director	Within a six week time period of hire
How will success be measured? 1. Review retention numbers for new hires.	WCDSS PII Team Members	1. At least bi-annually
2. Exit interviews to determine why the employee may be leaving.		2. Per occurrence.

What will be done (brief description)?	Who will do it?	By When?
3. Review performance assessments to determine their competency, skill and alignment with the mission of the Agency.		3. After each review.
4. New staff will be part of the SAFE-FC fidelity review and performance assessment scores.		4. When new staff are added.

DRIVER: **COMPETENCY – Training**
What data sources are being used for action planning?

(1) Washoe County PII Readiness and Organizational Climate Re-Assessment Survey (RYC/December 2012); (2) Initial Implementation Drivers Assessment Survey (NIRN/January 2013); and (3) Implementation Capacity Assessment Survey (RYC/May 2012); (4) ACTION Site Visit Reports; (5) RYC Foundational Training Report; (6) PII Cross-Site Drivers Assessment (JBA/March 2013)
What have the data indicated are strengths and challenges related to this Driver?

(1) Overall, respondents were ambivalent about whether legitimate reasons and needs existed requiring the implementation of SAFE-FC. On average, the appropriateness subscale score was 4.93 (SD=1.22); however, 67.8% of respondents somewhat to strongly agreed that the children and families of Washoe County would benefit from this change, and 74.3% somewhat to strongly agreed that there were legitimate reasons for Washoe County to make changes.

Responses from the overall satisfaction section indicated that SAFE-FC workers were generally satisfied with training, and 79.3% somewhat to strongly agreed that they had the skills needed to make this initiative work.

(2) Best practices are in place for training. No areas for action planning were identified. Composite score average 2.00 (0 to 2 range; target is equal or greater than 1.5). In Place = 100%.

(6) Significant progress has been made toward the development of supports that facilitate staff training and, uniformly, respondents agree that staff training is very important to achievement of SAFE-FC's intended outcomes.
What is the aim or purpose of strengthening this Driver?
Sustainability of SAFE-FC demonstrated through the orientation, training and transfer of learning for staff new to the model. To include the basic knowledge of Child Welfare training and how this is integrated with the SAFE-FC training.

What will be done (brief description)?	Who will do it?	By When?
Orientation to the model; life of a case for SAFE-FC discussion and guidance to the model. Training materials, to include: Practicum with the purveyor	PII Leadership (Jim, Sherri and Dena and purveyors)	Ongoing
Assessed and evaluated through competency exams to the core components of the model	Purveyors/RYC-ACTION	Ongoing throughout the life of the cooperative agreement (PII)

How will success be measured?

1. Completion of the training process
2. Results of the competency exam
3. Scores in the quarterly fidelity reviews
4. The drivers assessment scores are maintained in this area on the next cross-site survey through ET

DRIVER: **COMPETENCY – Supervision and Coaching**
What data sources are being used for action planning?

(1) Washoe County PII Readiness and Organizational Climate Re-Assessment Survey (RYC/December 2012); (2) Initial Implementation Drivers Assessment Survey (NIRN/January 2013); and (3) Implementation Capacity Assessment Survey (RYC/May 2012); (4) ACTION Site Reports; (3) PII Cross-Site Drivers Assessment (JBA/March 2013); (4) ACTION Site Visit Reports; (5) PII Management Reports (Supervisor/Worker Consultation, Worker/Caregiver Contact);
What have the data indicated are strengths and challenges related to this Driver?

(1) Given that most skills needed by successful practitioners can be introduced in training, but are really learned on the job with the help of a consultant/coach (Fixsen, et al., 2005; Fixsen, et al., 2009), the responses from the *Change Efficacy* subscale of the Organizational Readiness to Change measure suggest that respondents from both organizations are open to learning, but lack the confidence that they can learn the necessary tasks and skills needed to make the SAFE-FC implementation successful. Specifically, 49.9% of respondents somewhat to strongly agreed that there were some tasks that were required of them in this initiative that they did not think they did well, 46.7% were experiencing problems adjusting to their work they had in this initiative from a somewhat to strong degree.

Washoe County DSS has compiled many highly knowledgeable and competent coaches/consultants to bring about the necessary practice changes including a high level of involvement from purveyors (i.e. ACTION for child protection & the Ruth H. Young Center for Families & Children); however, half of all respondents did not report confidence in their ability to perform successfully or carried out required tasks of this initiative. Additionally, although mid- and upper-level managers and supervisors have been trained to monitor the stages of SAFE-FC implementation, and to build their own expertise to individually and collectively support staff to be effective in their implementation of interventions, satisfaction responses suggest that there is a range in Supervisor skill in providing additional support and coaching.

(2) Best practices are currently in place for coaching and consultation. Coaching plans have been stage-based and current plans have focused on supporting pre-service activities. Action planning to revise coaching protocols to support in-service work was recommended. Revised coaching plans would connect PCFA baseline knowledge scores and early fidelity assessments to strategies for building competence and expertise with SAFE-FC. It was also recommended that metrics be created for assessing adherence to the Coaching Service Delivery Plan. Washoe can explore how UNITY reports and other data sources can aid in assessing coaching delivery. Composite score average 1.83 (0 to 2range; target is equal or greater than 1.5). In Place = 83%, Partially in Place = 17%.

(6) Most of the best practices in staff coaching are reported to be in place or partially in place and nearly all respondents agree that coaching is very important to the achievement of SAFE-FC's intended outcomes. What is the aim or purpose of strengthening this Driver?
Maintaining best practice from the transfer of coaching from the purveyor to the Agency What is the plan to strengthen the Driver?

Action planning to revise coaching protocols to support in-service work was recommended. Revised coaching plans would connect PCFA baseline knowledge scores and early fidelity assessments to strategies for building competence and expertise with SAFE-FC. It was also recommended that metrics be created for assessing adherence to the Coaching Service Delivery Plan. Washoe can explore how UNITY reports and other data sources can aid in assessing coaching delivery.

What will be done (brief description)?	Who will do it?	By When?
Develop data reports that measure frequency and intensity of coaching	Jim, purveyors/CC, and UNITY staff & programmer	Initial reports developed and refinements ongoing as reviewed by ILT

How will success be measured?

1. Through purveyor site reports on coaching
2. Reports are available and reviewed with SAFE-FC teams

DRIVER: **COMPETENCY – Fidelity Assessment**
What data sources are being used for action planning?

(1) Washoe County PII Readiness and Organizational Climate Re-Assessment Survey (RYC/December 2012); (2) Initial Implementation Drivers Assessment Survey (NIRN/January 2013); and (3) Implementation Capacity Assessment Survey (RYC/May 2012); (4) PII Cross-Site Drivers Assessment (JBA/March 2013); Purveyor and Evaluation Liaison feedback from Performance Assessment Process.

What have the data indicated are strengths and challenges related to this Driver?

(1) None/TBD.

(2) Most of the best practices for fidelity are in place. Due to the adaptations to the intervention model, fidelity criteria have also been modified to accommodate the integration of SAFE and FC. In this regard, fidelity criteria are based on previous research but correlations with outcomes have not yet been

calculated for this particular model. Both content and competency are assessed as part of fidelity. While coaching involves direction observation of practice, resource constraints limit fidelity assessments to direct observation of the record. Finally, Washoe can seek to improve transparency of fidelity assessments with caseworkers and supervisors. Composite score average 1.78 (0 to 2 range; target is equal or greater than 1.5). In Place = 78%, Partially in Place = 22%.

(4) A relatively high proportion of respondents are not aware of whether many of the supports that facilitate performance assessment are in place or not, but those who do know report that these practices are the least developed among the competency drivers.
What is the aim or purpose of strengthening this Driver?
Leads to individual coaching plans to improve staff competencies. What is the plan to strengthen the Driver?

Washoe can seek to improve transparency of fidelity assessments with caseworkers and supervisors.

What will be done (brief description)?	Who will do it?	By When?
Share the assessment data for continued practice improvement	PII leadership team	Initial review completed in March 2013 and results will be shared ongoing
Purveyor is preparing a PPT for May 2013 ILT meeting	Purveyor/RYC	May 2013

How will success be measured?

1. Integrating the fidelity review into the coaching plan
2. Share assessment survey & fidelity scores with staff; focus on improvement

Section 2 - Organization Drivers

Cross Site Survey Results - Chart 2

Composite Scores and Averages	In Place	Partially in Place	Not in Place	Don't Know	*Composite Score (0-2 scale)
Organization Drivers	**50.2%**	**34.1%**	**2.7%**	**12.9%**	**1.54 (1.08)**
Decision Support Data Systems	42.8%	37.4%	2.3%	17.6%	1.48 (1.09)
Facilitative Administration Supports	56.3%	32.1%	3.6%	8.0%	1.57 (1.17)
Systems Interventions	64.7%	26.5%	2.9%	5.9%	1.65 (1.00)

***** NIRN Initial Drivers Assessment Scores noted in ()

DRIVER: **ORGANIZATION – Decision Data Support System**
What data sources are being used for action planning?

(1) Washoe County PII Readiness and Organizational Climate Re-Assessment Survey (RYC/December

2012); (2) Initial Implementation Drivers Assessment Survey (NIRN/January 2013); and (3) Implementation Capacity Assessment Survey (RYC/May 2012); (4) PII Cross-Site Drivers Assessment (JBA/March 2013);
What have the data indicated are strengths and challenges related to this Driver?
(1) Prior research has documented the relevance of organizational culture/climate and organizational readiness to implement system and practice changes in public child welfare agencies (Glisson & Hemmelgarn, 1998). Findings from the initial survey suggested that in general, there was a positive organizational culture and climate for implementing new interventions to reduce long term foster care, and that despite having limited information, most staff were open to the idea that change was needed and seemed motivated to learn more about how this initiative would specifically impact them and their roles in work with children and families. For the re-assessment staff, particularly WCDSS staff were less optimistic, and more ambivalent about the change.

(2) The data systems to support the SAFE FC are partially in place. A list of reports has been created but not been fully developed by the programmer. It is expected that these reports will be generated in the next few months and that data will be used for decision-making purposes. Washoe can create protocols for how data will be used for continuous improvement by the various Implementation Teams. Composite score average 1.09 (0 to 2 range; target is equal or greater than 1.5). In Place = 9%, Partially in Place = 91%.

(4) Many important aspects of the SAFE-FC decision-support data system are reported to not yet be fully in place, but most respondents report confidence that data will in fact be used to facilitate decision-making that supports the achievement of SAFE-FC's desired outcomes.
What is the aim or purpose of strengthening this Driver? To inform Agency practice and program implementation

What is the plan to strengthen the Driver?

Washoe can create protocols for how data will be used for continuous improvement by the various Implementation Teams.

What will be done (brief description)?	Who will do it?	By When?
Develop data reports to inform core practice activities	PII Leadership/ILT	Initial reports developed, revisions and review ongoing
Sharing of data reports and analysis is embedded in the joint meeting protocol with the SAFE-FC team	Sherri and Jacquelyn	Will be implemented by June 2013 and ongoing

How will success be measured?

1. Documented and evidenced by the ILT meeting minutes that the data reports were reviewed by the ILT
2. The data reports have been shared with the SAFE-FC teams; through the link in and link out protocol
3. Trend analysis of ongoing data reports moving in the intended direction; barriers are identified and solutions are developed

DRIVER: **ORGANIZATION – Facilitative Administration**
What data sources are being used for action planning?

(1) Washoe County PII Readiness and Organizational Climate Re-Assessment Survey (RYC/December 2012); (2) Initial Implementation Drivers Assessment Survey (NIRN/January 2013); and (3) Implementation Capacity Assessment Survey (RYC/May 2012); (4) PII Cross-Site Drivers Assessment (JBA/March 2013);
What have the data indicated are strengths and challenges related to this Driver?

(1) "Facilitative administration provides leadership and makes use of a range of data inputs to inform decision making, support the overall processes, and keep staff organized and focused on the desired intervention outcomes. In facilitative administrative organizations, policies, procedures, structures, culture, and climate are given careful attention to assure alignment of these aspects of an organization with the needs of practitioners" (Fixsen, et al., 2009). Results from these surveys suggest, on average, a decline in worker perception of management support, and generally neither agreed nor disagreed with items related to leadership and communication.

(2) Best practices for facilitative administration are, for the most part, partially in place. Washoe seeks to institutionalize communication loops among Implementation Teams to ensure that practice level information is fed up to the "right" level of the system, and that recommendations are fed back down the system efficiently, effectively and transparently. A new Teaming Structure was discussed to enhance feedback loops (see graphic below). Establishing a common set of protocols for these Teams to use at each meeting, as well as "link in" and "link out" strategies were identified as important to reducing barriers to implementation. Protocols should be guided by a series of questions about what is working well and what is not working well, and whether particular Teams have the information and authority necessary to a d d r e s s identified barriers or whether the challenge needs to be fed "up" to the next level of the system. Strategies to improve communication across the system were also discussed. For example, enhanced understanding and communication among assessment and permanency staff on the values and expectations of SAFE-FC would be beneficial for reducing barriers to implementation. Composite score average 1.17 (0 to 2 range; target is equal or greater than 1.5). In Place = 17%, Partially in Place = 83%.

(4) Many of the leadership structures, processes, and protocols that support facilitative administration within SAFE-FC are reported to be in place, and facilitative administration is seen by respondents as being important for achieving the program's desired outcomes.
What is the aim or purpose of strengthening this Driver?

Establishing a common set of protocols for Teams to use at each meeting, as well as "link in" and "link out" strategies were identified as important to reducing barriers to implementation. Protocols should be guided by a series of questions about what is working well and what is not working well, and whether particular Teams have the information and authority necessary to address identified barriers or whether the challenge needs to be fed "up" to the next level of the system. Strategies to improve communication across the system were also discussed.
What is the plan to strengthen the Driver?
We are going to improve communication and enhance the teaming structure for SAFE-FC

What will be done (brief description)?	Who will do it?	By When?
Roles and Responsibility group with CC and WCDSS involvement (focusing on adaptive and technical processes) • Safety planning/safety management • Confirming safe environments • Support services	Dena and work group	Initial plan presented in March to ILT. Draft results presented to ILT on May 23, 2013. Final pending for June ILT.
Revised teaming structure through ILT	ILT	Started February 2013 and ongoing
Included supervisors to be a part of the ILT	ILT; supervisors	Started February 2013 and ongoing

How will success be measured?

1. ILT minutes
2. Teams are meeting as intended and recommended
3. Link in and link out protocol is being followed
4. Roles and responsibilities are identified at the worker level and brought to leadership for review
5. Results of future cross-site drivers assessment survey and PII team surveyor; readiness and organization climate re-assessment survey

DRIVER: **ORGANIZATION – Systems Intervention**
What data sources are being used for action planning?

(1) Washoe County PII Readiness and Organizational Climate Re-Assessment Survey (RYC/December 2012); (2) Initial Implementation Drivers Assessment Survey (NIRN/January 2013); and (3) Implementation Capacity Assessment Survey (RYC/May 2012); (4) PII Cross-Site Drivers Assessment (JBA/March 2013);
What have the data indicated are strengths and challenges related to this Driver?

(2) Best practices for systems interventions are, for the most, part partially in place. Washoe seeks to improve ongoing communication with systems partners and key stakeholders. For example, Washoe will work towards communicating more often with provider networks, community partners, and legislatures as planned. Composite score average 1.00 (0 to 2 range; target is equal or greater than 1.5). In Place = 14%, Partially in Place = 72%, Not in Place = 14%.

(4) Systems interventions, or strategies that enable SAFE-FC leaders and staff to address external issues that impact their ability to provide services, are largely in place and all respondents believe they are very important to the achievement of the intervention's intended outcomes. Yet respondents express some doubt that leadership can resolve external issues that might prevent the implementation of SAFE-FC.

What is the aim or purpose of strengthening this Driver?
Improve stakeholder awareness, alignment and ability to provide supportive services to the project.
What is the plan to strengthen the Driver?

Washoe seeks to improve ongoing communication with systems partners and key stakeholders. For example, Washoe will work towards communicating more often with provider networks, community partners, and legislatures as planned.

What will be done (brief description)?	Who will do it?	By When?
Conduct targeted outreach to the legal community	Agency Director, Division Director in collaboration with purveyors	Started May 2013, targeted completion by August 2013
Training of community service providers	Agency representative and purveyor participation	June 2013 and July 2013
Model Court participation	Division Director	Ongoing
Facilitate ongoing communication between CC and WCDSS	Sherri and Jacquelyn	Ongoing

How will success be measured?

1. Targeted activities are completed as indicated
2. Improved satisfaction from staff through surveys

Section 3 - Leadership Drivers

Cross Site Survey Results - Chart 3

Composite Scores and Averages	In Place	Partially in Place	Not in Place	Don't Know	*Composite Score (0-2 scale)
Leadership Drivers	**57.3%**	**30.6%**	**4.0%**	**8.1%**	**1.57 (79%)**
Technical Leadership	53.1%	32.3%	5.2%	9.4%	1.53 (77%)
Adaptive Leadership	71.4%	25.0%	0.0%	3.6%	1.74 (87%)

	*Composite Score (0-5 scale)
NIRN Initial Assessment Comparison	**3.71 (74%)**
Technical Leadership	4.00 (80%)
Adaptive Leadership	3.43 (67%)

NOTE: Due to difference in composite score scales they were converted to %'s for informal comparisons.

DRIVER: **LEADERSHIP – Technical/Adaptive**
What data sources are being used for action planning?

(1) Washoe County PII Readiness and Organizational Climate Re-Assessment Survey (RYC/December 2012); (2) Initial Implementation Drivers Assessment Survey (NIRN/January 2013); and (3) Implementation Capacity Assessment Survey (RYC/May 2012); (4) PII Cross-Site Drivers Assessment (JBA/March 2013);
What have the data indicated are strengths and challenges related to this Driver?

(1) The *Management Support* subscale of the Organizational Readiness for Change measure contained six questions that assessed whether staff perceived the organizations' leadership and management to be committed to and supportive of, the implementation of SAFE-FC.

In the initial survey, the average score for management support was 5.29 (SD=1.08), placing the average between 'neither agreeing or disagreeing' and 'somewhat agreeing', while for the re-assessment, the average score dropped to 4.67 (SD=1.29), moving the average response to between 'somewhat disagreeing' and 'neither agreeing or disagreeing'. This decline was more prominent for WCDSS respondents, in which the average score was 5.06 (SD=1.11) for the initial survey, and 4.54 (SD=1.13) for the re-assessment.

Although the respondents from the Children's Cabinet showed a much less noticeable decline, it continues to be important for both agencies, but particularly for WCDSS administration and leadership, to demonstrate leadership and commitment to this initiative supporting workers as it impacts the work that they do.

(2) Technical score averaged 4.0 and Adaptive score averaged 3.43 (5 point Likert Scale).

(4) Most aspects of technical leadership are in place, and many aspects of adaptive leadership are in place, though these are reportedly less developed. Both types of leadership are recognized as being very important to achieving the intended outcomes of SAFE-FC. There is, however, some doubt among respondents about the likelihood of leadership using strategies effectively in order to positively impact the implementation of SAFE-FC, and about the likelihood of leadership effectively addressing issues that impact the implementation of SAFE-FC.
What is the aim or purpose of strengthening this Driver?
To enhance leaderships awareness of and the ability to manage technical and adaptive challenges within the Agency
What is the plan to strengthen the Driver?
Expand the technical and adaptive leadership skills, capacity and knowledge beyond the ILT to the Agency leadership team

What will be done (brief description)?	Who will do it?	By When?
Webinar on leadership for Agency leadership team	Allison Metz, PhD With NIRN	Targeted for completion by August 2013
Developing diversified leaders within all levels of the Agency (additional focus on the supervisory level)	Allison Metz, PhD With NIRN	Targeted for completion by September 2013

How will success be measured?

1. Completion of the identified activities
2. Leadership has a working knowledge of technical and adaptive challenges through identification of barriers and solutions

Sustainability Planning: Child Welfare Case Examples

August 2014

Introduction

The following examples represent a range of cases that draw on various aspects of sustainability planning. Across these examples, planning for sustainability began at various stages of the implementation process, and was driven by a range of needs. Some cases reflect interventions that are still in the process of implementation; others reflect those that have already passed the life of the grant. Overall, these examples emphasize different categories of sustainability planning (i.e., implementation infrastructure and processes, organizational infrastructure and processes, and fiscal strategies/resources). They also demonstrate a variety of approaches for attending to key factors that have been shown in experience and research to be important elements of sustainability planning. Case examples have been formatted to highlight these categories and elements.

Case Example #1: State Initiative to Reduce Long-Term Foster Care

Aspect of the program to sustain: Fidelity monitoring and training

Categories of Sustainability Planning:

- ✓ Implementation Infrastructure and Processes
- ✓ Organizational Infrastructure and Processes
- ✓ Fiscal Strategies/Resources

A county department of social services is in the fourth year of implementing an innovation that consists of three interventions to meet the needs of multiple target populations. The innovation, which consists of two evidence-supported practices, involves an assessment of initial caregiver readiness for change and employs motivational interviewing techniques to increase readiness for change. A new agency director is attending monthly Implementation Leadership Team meetings and raising the issue of what decisions need to be made regarding sustainability of the innovation.

The team has been using the results of an annual implementation supports assessment survey to measure its organizational readiness for implementation. The survey covers eight domains: staff recruitment and selection, training, coaching, performance assessment, decision support data systems, facilitative administration, systems intervention, and leadership. The team has also been using an Organizational Readiness/Organizational Climate survey conducted by a state university for action planning. The new director and the leadership team are focusing plans for sustainability on implementation and organizational infrastructure and processes,

including training, fidelity, data systems, and monitoring (implementation) and leadership (organizational).

Key Element: 1- Planning for Sustainability

Planning for Sustainability: To create a sustainability plan, the director and the leadership team agree that determinations have to be made in several areas of planning. To establish roles and responsibilities of key partners, they need to identify stakeholders within the community to whom they will disseminate project information. They must also select internal and external "champions" and develop a plan for them to disseminate information about the project. In the absence of outcome data, potential strategies for sustainability data include: (1) using available program data and fidelity data to justify adding staff; and (2) determining what data they have and what other data needs to be collected.

> "Almost two full years of [the innovation involved] preparation, evaluation, looking at [implementation] drivers, evaluation, and analysis. What's happened is it's kind of – for lack of a better term – operationalized: a process by which we're looking at data, program improvement, and at the same time, trying to look at ... funding.

Ideas for monitoring and determining progress include hiring and training fidelity reviewers for monitoring the interventions so that monitoring can be done internally rather than by the developers, who currently analyze and report the data. The leadership team would like to determine if the county department of social services is going to purchase analytics or online survey software to develop internal capacity for analysis. The team is also considering identifying which parts of the interventions they want to sustain and which of the multiple populations these parts target. The team and the director are implementing an interview and observation process with intervention workers and supervisors to determine what changes need to be made to training and coaching. They also need to determine how staff and cases will be assigned, as both are randomized currently due to the evaluation design.

Sustainability Planning Lessons Learned:

- If preliminary information indicates that sustaining an intervention would be beneficial, an agency or organization can plan many implementation and organizational activities before formal evaluation data are available.
- Creating a detailed sustainability plan involves examining complex issues and determining next steps.

Case Example #2 Trauma Focused Model for Reducing Long-Term Foster Care

Aspect of the program to sustain: Training and Fidelity Monitoring

Categories of Sustainability Planning:

- ✓ Implementation Infrastructure and Processes
- ✓ Organizational Infrastructure and Processes
- ✓ Fiscal Strategies/Resources

During the formative evaluation stage of an intervention, a state child welfare agency chose to work with its developer to begin training select therapists to train other therapists in the model after the grant funds ran out. The developer trained therapists and facilitated fidelity monitoring throughout the life of the grant. The state understood early on that if it wanted to sustain the model, it needed an alternative to paying the developer for the training and monitoring services after the grant funds ended. It focused on methods for supporting fidelity monitoring to enhance implementation infrastructure and processes. It also considered ways to diversify funding to bolster its fiscal resources.

Key Elements: 1- Planning for Sustainability, **7-** Tracking and Monitoring Data and Other Information, and **10-** Diversifying Funding and Financing

Planning for Sustainability: Although early effects of the intervention were not yet known, the agency was aware of the importance of early sustainability planning efforts. With carry-over funds available, it selected therapists for a train-the-trainer training and engaged the developer to begin the project. The developer is in the process of training six therapists so they can train more therapists when the grant ends.

> "It's kind of a luxury to be encouraged to and to be able to think about sustainability early on in the project. We've had experiences where we've piloted practices before and then never been able to bring them to scale because we didn't have a sustainability plan or because we were waiting to find out what the effects were before we even begun planning for sustainability."

Tracking and Monitoring Data and Other Information: In addition to training the therapists to train other therapists, the six trainees will also be able to monitor fidelity of all the therapists associated with the program. The intervention practice consists of a set fidelity monitoring schedule. Videos of therapy sessions with parents and youth are uploaded and rated according to each session. Maintaining fidelity to the model involves monitoring fidelity of therapists according to this specific schedule. By also training the therapists to monitor fidelity, the train-the-trainer process provides two implementation supports: training and fidelity.

Diversifying Funding and Financing: In a related sustainability measure, the agency recently started talks with its Medicaid representative to see if this therapy could be paid for or reimbursed by Medicaid. Toward this end, the agency is also checking on the Medicaid eligibility of the therapists or their contracting agencies. Obtaining Medicaid eligibility can take

more than 6 months, so planning ahead for that is essential for the child welfare agency to be up and running across the state by the time the grant funding ends.

Sustainability Planning Lessons Learned:

When possible, exploit opportunities to use mechanisms available within an intervention to build capacity for sustainability.

As early as feasible, identify affordable ways to sustain fidelity to the intervention after the life of the grant.

Case Example #3: Practice Model for Reducing Long-Term Foster Care

Aspect of the program to sustain: Fidelity monitoring and training

Categories of Sustainability Planning:

- ✓ Implementation Infrastructure and Processes
- ✓ Organizational Infrastructure and Processes
- ✓ Fiscal Strategies/Resources

This project involves multiple county sites that are implementing a new developmental practice model that informs how case workers and the broader system interact with children and families. Previously, fidelity assessments had not been used in the system to assess the delivery of interventions. Without fidelity assessments, sites had been unable to determine if, and the extent to which, interventions were being delivered as intended. Overall, it was difficult to know how practices were changing to improve outcomes for children and families. It was also difficult to determine how to adjust implementation supports such as training and coaching for ongoing improvement in delivery and outcomes for children and families. In this case, when outcome data are not available yet, the fidelity assessment process is critical for tracking how the practice model is responsive to identified needs and the strategy for addressing them.

Key Elements: 1- Planning for Sustainability, **7-** Tracking and Monitoring Data and Other Information, **9-** Creating and Changing Systems

Planning for Sustainability: Careful attention to starting and maintaining a fidelity assessment process is the key to sustainability for this project. Data from fidelity assessments are designed to help sites see how the practice model is delivered and to use data to identify which implementation processes and activities they need to continue and which they need to improve. They enable sites to describe, even in the absence of outcomes, what the intended intervention actually looks like in practice. Combined with the project's logic model for change, the fidelity assessment process and data can help make the case that practice is moving in the direction of expected outcomes. In collaboration with staff and community partners, each site has developed a plan to begin and then continue implementing the established fidelity assessments protocol. Such decisions had to address aspects of who would do the assessments and when and how they would fit with everyday practice.

Creating and Changing Systems: Individual counties took site-specific approaches to starting fidelity practices and embedding them into business as usual. With one site, observing staff

practices was not new to their system, so incorporating a fidelity assessment protocol was not a new, risky activity. In other sites, observation of practice, the main mechanism for the fidelity assessment, was not customary, so sites developed a process to orient all those involved –staff and community partners – to what a fidelity assessment would look like. These orienting and training activities for the fidelity assessment included introducing sites to the tool and protocol, demystifying the assessment and clarifying rationales for its use, and conducting mock assessments using a video of a teaming interaction between a worker and a family. Looking ahead, sites will face complex decisions to incorporate these new fidelity processes and how to support the time involved to establish and continue them.

Tracking and Monitoring Data and Other Information: The fidelity assessment process is new, so sites started with a pilot version and gathered information from those implementing it about the feasibility, relevance, practicality, and utility. Implementation teams listened actively to concerns, suggested ideas for change/adaptation, and followed through to ensure that those revisions were made. The pilot phase – and willingness to then revise the fidelity assessment tool and protocol – seemed to assist in the larger roll out of the fidelity assessment.

Sustainability Planning Lessons Learned:

- Involving community partners in a fidelity assessment process—especially when they played an early and essential role in defining the problem to begin with—is key to sustainability. Their involvement in the fidelity assessment process legitimizes and builds on their role in defining the problem and seeing how it is addressed in practice. They can also help to ensure that the organization or system is not let “off the hook” in implementing and enhancing the strategy for addressing the problem. The visibility, transparency, and accountability of the system—and sustainability of implementation supports—can all improve when community partners are involved in fidelity assessment processes.
- Take time and steps to demystify the fidelity assessment process first with those who will be involved in the fidelity assessments. Those involved include the staff/workers, who will have a case/team meeting to review the process; the staff and community partners serving as observers, who will carry out the fidelity assessment process; and the supervisors, managers, and other key leaders who will use the information to understand and improve implementation. Orientation meetings and other time spent to share questions and concerns can help to answer questions and remove barriers.
- Getting started with fidelity assessment does not take hold without the active decision-making involvement of leadership, including managers and department directors. Their buy-in eases the process and allows teams to determine the necessary tasks and requests on which leadership will make decisions.
- Completing the fidelity assessment process, and getting and sharing data from it, prompts conversations about how to use data, makes people curious about other questions, and helps them see that they can develop effective implementation supports and a system to explore, examine, and use data to address questions. The fidelity assessment illustrates the importance of decision-support-data systems.

- The system often collects a lot of data and information, but does not necessarily drill down or make use of it. The fidelity process is an active, real-time process that facilitates just that.
- To prepare for practice after the life of a grant, a fidelity assessment should be tied to the needs of a system—what users need/want to know and why—so data can be used for ongoing quality improvement practices that are already part of the system.
- True sustainability of fidelity assessment after the grant ends may depend on simplifying the fidelity assessment process in a way that is meaningful to the system; e.g., embedding it into existing workforce development and system improvement processes within the organization.
- When leadership is able to see the purpose and value of fidelity, existing and often expected barriers may be less likely to stop it when there is an established process for measuring delivery.
- "Demystification" of a fidelity process is ongoing. It will continue as data are gathered and organized to show and share what the organization and system participants are learning. Paying attention to this process to "keep things real" with staff and partners may be key to embedding this in the system when the grant ends.

Case Example #4: Substance Abuse Treatment Center and Services

Aspect of the Program to Sustain: Direct services

Categories of Sustainability Planning:

- ✓ Implementation Infrastructure and Processes
- ✓ Organizational Infrastructure and Processes
- ✓ Fiscal Strategies/Resources

A community-based substance abuse treatment center formed a collaborative under the Regional Partnership Grant (RPG) program with partners committed to reducing foster care placements and making system changes to improve outcomes for children and families. The program was funded by grants from the Children's Bureau and involved several service agencies and the collaboration of judges, public defenders, district attorneys, state child welfare administrators, and the state association of counties. From the outset, the partners committed to rigorous evaluation that analyzed processes, outcomes, and costs. Sustainability efforts focused on aspects of organizational infrastructure through building community partnerships and strengthening fiscal resources by diversifying funds.

> "Sustainability is like what we say about our children when they go into residential: discharge begins at time of admission... [We have come] to think of sustainability as part of the technique and the evidence-based practice, then how to continue to support agencies in doing that."

Key elements highlighted: 5- Engaging Leadership, **3-** Focusing on Outcomes, and **8-** Demonstrating Effects and Sharing Results

Engaging Leadership: In the third year of the 5-year project, the executive director engaged her state senator to see if he would sponsor a bill that would support and expand a program to keep children at home instead of in foster care. The bill was modeled after their local RPG program. The senator was skeptical but eventually met with program leaders.

Focusing on Outcomes: In light of clinically proven, financially sound, trauma-informed evidence of positive outcomes, the senator became a champion for the program. With his help, the partners shared their data with state legislators who voted overwhelmingly for passage of a senate bill that funded the program efforts after the federal grant ended.

Demonstrating Effects and Sharing Results: The partners compiled a 44-page final report that described their collaborative efforts to change child welfare practice and detailed project outcome and evaluation results. The report featured photos and stories of partners who collaborated in the efforts and families who benefited from the program, and it became a marketing dissemination tool to promote future sustainability efforts.

Sustainability Planning Lessons Learned:

- Build rigorous evaluation into your project, use results to organize and make a compelling case for continuation, and share it with others based on their position to leverage resources.
- Plan for sustainability from the beginning, engage community partners in the design and implementation of the program, and find a champion to help with long-term financial sustainability and institutionalizing effective practice change.

Case Example #5: Transitional Supportive Housing for Mothers and Children Receiving Substance Abuse Treatment Services

Aspect of the program to sustain: Direct services

Categories of Sustainability Planning:

- ✓ Implementation Infrastructure and Processes
- ✓ Organizational Infrastructure and Processes
- ✓ Fiscal Strategies/Resources

A community-based agency directed a program that allowed children to remain with their mothers rather than being placed in foster care while under the 24-hour supervision of the program. The agency engaged local and regional partners in planning and implementing the program. For sustainability planning, they developed aspects of organizational infrastructure, especially leadership and community partners; and fiscal strategies focused on diversifying funding.

Key elements highlighted: 5- Engaging Leadership, **9-** Creating and Changing Systems, **8-** Demonstrating Effects and Sharing Results, and **10-** Diversifying Funding and Financing

Engaging Leadership: In the fourth year of a 5-year regional partnership grant supporting a new transitional program for mothers and children in the child welfare system, the agency engaged

state leadership to sustain funding after the grant expired. With the support of local partners and stakeholders, the agency director planned a luncheon in the state capital and sent a save-the-date invitation to a range of leaders, including the director of the state child welfare agency, the director of Probation Services, and the heads and staff of corrections, drug courts, alcohol and drug treatment, housing, and education. The invitation detailed scheduled presentations and advertised the opportunity for participants to "Network and have your voice heard."

> "We wanted to make sure that the infrastructure was there and to anticipate the work we might need to do in advance of the project ending."

Creating and Changing Systems: Through a series of presentations, the agency immersed state leadership in the background of the program. They did not talk about their need for funding. They provided a national overview of regional partnership grants by the National Center on Substance Abuse and Child Welfare and updates from the Casey Family Programs and the state child welfare director on the status of the state's title IV-E Waiver. Their message sought support for policies, programs, and practices that promote cross-system collaboration, information and data sharing, and whole family approaches and services.

Demonstrating Effects and Sharing Results: Presentations also highlighted success stories. The agency's presentation, for example, included a 9-minute video about the mothers who had gone through their transitional housing program. Agency leaders focused on the unique practices their program offered and its benefits to the children and families of the state.

Diversify Funding and Financing: The luncheon forged relationships not only between the community-based agency and state leadership but among members of the state child welfare office, the TANF office, and the substance abuse office who are now in discussions with the agency about how to use TANF to continue the program when the grand period ends.

Sustainability Planning Lessons Learned:

- Garner the support of local partners: design and communicate a story that describes the value-added of the service you are trying to sustain; include personal experiences as well as quantitative outcome data.
- Plan and implement purposeful strategies to engage state systems' leaders.
- When possible, engage state leadership to leverage diversified funding opportunities.
- Sustainability is about sustaining system changes that improve services to children and families as well as agency specific innovations.

Case Example #6: Reducing Disparity in Foster Care Placement of Tribal Populations

Aspect of the program to sustain: Home-based services

Categories of Sustainability Planning:

- ✓ Implementation Infrastructure and Processes
- ✓ Organizational Infrastructure and Processes

✓ Fiscal Strategies/Resources

A federal implementation center (IC) worked with a consortium of 16 Tribes to provide intense training on three practice areas of home-based services to improve the state foster care referral process. The heart of their sustainability efforts revolved around building relationships through improved communications. Throughout the project, the technical assistance (TA) providers focused on aspects of organizational infrastructure that would support better relationships and, in the process, create stability and sustainability. Specifically, they focused on organizational and community partnerships, training, data practices, and leadership.

> "I'm becoming more and more confident in doing this intervention... sitting down with our workers and … and automatically going to the criteria and helping with some of that decision making. There's been a transformation over time. I think through repetition we've gotten better."

Key elements highlighted: 6- Building Relationships, Building Partnerships, **5-** Engaging Leadership, **9-** Creating and Changing Systems

Building Relationships, Building Partnerships: Issues of trust and poor communication underlay efforts to improve practices, so the TA initially consisted of training on historical trauma of American Indian people, trauma-informed care, and bridging the communication gap between Tribes and the state. State child welfare staff understood historical trauma as it pertained to the past but were not aware of ways that they continued to perpetuate it. To build relationships, the IC created workgroups for each practice area (data, linkages, courts), assigning a mix of Tribal and state child welfare professionals to each group. A majority of workgroup members were Tribal representatives. This helped ensure a safe environment for them. As they facilitated courageous conversations and difficult situations, the lead TA provider (a Native American person) and the co-leader (a non-Native American) mirrored how the Tribal-state partnership should look and how it should work.

Creating and Changing Systems: Before the training, the Tribal child welfare staff had never seen their own data. The state had not provided it, and the Tribes, skeptical of the state's good will, had not requested it. As the trust between the state and Tribes improved, the state shared data not just on a state level but also on a regional level. Eventually, the state and Tribes examined the data together, analyzing the numbers, determining if in-home services were working, and tracking referrals and placements. This partnership stabilized the progress on the services work made in the training. Once the Tribes knew the information from the data, they could hold the state accountable. Moreover, the practice of sharing dating that was created through these partnerships will endure beyond the program's end.

Engaging Leadership: The TA providers also trained four pairs of leaders: the Tribal consortium lead, the head of state child welfare office, and three sets of consortium-state co-chairs. They also built a leadership team of about 15 people and trained them separately. By training in a more intense and individual way, they built relationships among the top 15-20 Tribal and state leaders, ensuring a depth of leadership that safeguarded the project against inevitable turnover of personnel.

Sustainability Planning Lessons Learned:

- Invest in implementation strategies that create and sustain a hospitable organizational environment for effective services and extend to serve sustainability as well.
- Plan for depth of leadership that can prevent problems that occur from turnover.
- Create transparency and common agreement among multiple stakeholders to adjust or balance the power base. This should lead to a shared, lasting approach to determining the issue and ways to address it.
- Sustainability may often require going deeper than the surface issue or approach to address it. In this case, those working with others who have experienced historical trauma began to examine ways they may have unintentionally perpetuated that trauma.

Example Sustainability Plan

Planning for the sustainability of an innovation should not be saved until the end of the grant funding period. Instead, planning should occur throughout the life of the grant to maintain desired outcomes after the grant period has ended. When drafting a sustainability plan, it is important to establish whether the entire innovation will be sustained or selected components. After the post-grant innovation has been clearly defined, a plan for sustaining the necessary implementation supports, infrastructure, and funding can be developed.

The following chart provides a hypothetical example of a sustainability plan for an evidence-informed innovation. It focuses on implementation and organizational infrastructure and processes, as well as the fiscal strategies and resources for sustainability. Based on a plausible but fictitious scenario, the innovation targets anger management issues in youth who have been recently placed in out-of-home care. Using grant funding, a county agency implemented the innovation with guidance from the innovation developer. The innovation filled a need, so the agency planned to sustain it after the grant period ended.

In the plan below, the “Grant Funding Period” column describes the innovation as it was implemented under the terms of the grant. The “Sustained Innovation” column outlines the sustainability plan and changes that were made as a result of what the agency learned through implementation of the innovation during the grant funding period. Please note that a sustainability plan for an actual innovation would include more specific details about each of the elements of the innovation.

Elements	Grant Funding Period	Sustained Innovation (Text in italics indicates a change from the grant funding period)
Innovation	The innovation was implemented as originally outlined by the innovation developer and within the parameters set by the terms of the grant. The innovation targets anger management issues experienced by children who have recently been placed in out-of-home care. It is a brief innovation (4-6 sessions) delivered at the child's new placement by the caseworker, who has been specifically trained in the innovation. The innovation developer provides close oversight.	The sustained innovation will be the same as the one implemented. *The characteristics of the target population will shift slightly as a result of lessons learned during the grant period. Additionally, the innovation developer will play a much diminished role, and agency supervisors will transition to a more involved role.* The innovation targets anger management issues sometimes experienced by children who have recently been placed in out of home care. It is a brief innovation (4-6 sessions) delivered at the child's new placement by the caseworker, who has been specifically trained in the innovation. *To sustain the innovation, the supervisor will provide close oversight.*
Innovation Target Population	• Age range 5-10 • Placed with relatives • Recently placed in care • Not currently making suicidal/homicidal threats or plans	• *Age range to focus on slightly older youth (7-12)* • *Traditional, relative, or specialized foster care* • Recently placed in care • Not currently making suicidal/homicidal threats or plans
Innovation Referral and Enrollment Process	• Data is pulled from database to identify eligible youth recently placed in care • Eligibility Screening Form completed by caseworker	• *Caseworker will refer youth* • Eligibility Screening Form completed by caseworker

Elements	Grant Funding Period	Sustained Innovation (Text in italics indicates a change from the grant funding period)
Training and Coaching for Practitioners	• Innovation developer provides training and coaching to caseworkers • Agency staff provides training and consultation on data management system and administrative protocols	• *Supervisors will be responsible for providing training and coaching to caseworkers* • *Innovation developers will coach the supervisors* • Agency staff provides training and consultation on data management system and administrative protocols
Using Data for Continuous Quality Improvement (Fidelity monitoring)	• Innovation developer reviews and monitors fidelity of service delivery • Innovation developer hosts coaching calls with caseworkers	• *Supervisors will review and monitor fidelity of service delivery* • *Supervisors will conduct coaching within their unit*
Using Data for Continuous Quality Improvement (Data collection and analysis)	• All case information, including client, caseworker, and service-related data, are stored in a database specifically designed for the grant • Baseline assessments are collected by caseworkers and shared with innovation developer • Consumer satisfaction surveys are collected by innovation developer and shared with caseworkers • Analysis of the collected data is conducted through the innovation developer	• *All case information will be stored within the existing agency database* • *Baseline assessments are collected by caseworkers and shared with supervisors* • *Consumer satisfaction surveys will be collected by supervisors and shared with caseworkers* • *Analysis of innovation data will be conducted through agency partnership with local university*

Elements	Grant Funding Period	Sustained Innovation (Text in italics indicates a change from the grant funding period)
Administrative Home and Leadership	• The implementation team works closely with the innovation developer, with whom the agency has a contractual relationship, to provide many implementation support services and oversee the leadership of the innovation	• *The implementation team oversees the implementation support services and leadership of the innovation* • *The agency will continue to maintain a high- level contractual relationship with the innovation developer*
Policies and Procedures	• The policies and procedures manual is grant specific and was developed by the innovation developer, in accordance with terms of the grant	• *The post-grant policies and procedures manual is integrated into the larger agency manual and outlines the formalized innovation program plan developed by the agency* • *Routine meetings with the innovation developer will be held to review and refine these protocols as necessary*
Partnerships	• Innovation developer • Other service agencies that interact with the child • Stakeholders	• *Local university (will take on the data analysis role previously conducted by the innovation developer)* • *Innovation developer (will take a lesser role)* • Other service agencies that interact with the child • Stakeholders

Elements	Grant Funding Period	Sustained Innovation (Text in italics indicates a change from the grant funding period)
Communication	• The agency, leadership, implementation team, and innovation developer maintain a documented communication protocol that includes established links and mechanisms for continuous feedback • Leadership, supervisors, caseworkers, relevant partners, and staff will maintain a documented communication protocol that includes established links and mechanisms for continuous feedback	• *Procedures will be embedded in the agency manual* • *The innovation developer is less involved in the communication protocol* • Leadership, supervisors, caseworkers, relevant partners, and staff will maintain a documented communication protocol that includes established links and mechanisms for continuous feedback
Fiscal Strategies and Resources for Sustainability	• Innovation developer costs: o Training o Materials o Fidelity monitoring o Caseworker consultation calls Administrative costs: • Staff salaries, trainings, and continuing innovation education sessions • Office supplies	• *Training, consultation calls, and fidelity monitoring are included as part of the existing supervisors' salaries* • *Innovation developer costs include:* o *Fidelity monitoring of the supervisors* o *Innovation developer consultation fee* o *Innovation materials* Administrative costs: • Office Supplies