System of Care Expansion Implementation Guide

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Preparation for SOC Expansion Implementation Activities

Create or Improve an SOC Expansion Team

1. **Use or modify an existing SOC team to be the SOC expansion team or create a new SOC expansion team if necessary**	• Review the composition of an existing SOC expansion team or another existing structure responsible for SOCs • Determine if the existing team or structure needs to be modified to serve as the SOC expansion team • Create a new SOC expansion team if a previous team or structure does not exist as a foundation to fulfill this role
2. **Use dimensions of an effective SOC expansion team as a guide to review the team's composition and roles**	• Review and apply the dimensions of an effective team that are listed below: – Embedded in the system, not a separate entity/project – Includes appropriate stakeholders based on the overall goals and strategies in the expansion plan – Includes individuals in decision-making roles – Includes individuals with access to high-level policy makers – Includes state, tribal, and territorial system-level members and community-level members – Includes family members and youth – Includes representatives of culturally diverse populations – Includes individuals with skills and expertise relevant to the expansion (e.g., social marketing, evaluation, financing)
3. **Develop state-community partnerships for SOC expansion**	• Determine strategies for state-local partnerships for expansion to achieve the high-level systemic changes needed for SOC expansion and for SOC implementation in local communities • Define the respective roles of state and community stakeholders in SOC expansion
4. **Ensure that composition of team includes appropriate leaders and stakeholders**	• Review the composition of the expansion team to ensure that it includes appropriate leaders, stakeholders, new partners relevant for SOC expansion implementation goals, and other identified individuals whose support is essential for implementation • SOC expansion team members may include: – Principal investigator and project director (*Grantees*) – Individuals who will be leading and managing implementation efforts – Family and youth leaders – Representatives from partner systems (e.g., mental health, Medicaid, child welfare, juvenile justice, education, substance use, primary care, education, early childhood, transition age youth, higher education, etc., based on expansion plan focus and goals) – Designated lead for cultural and linguistic competence – Designated lead for social marketing and strategic communications – Designated lead for evaluation and continuous quality improvement – Service providers – Other identified stakeholders important to system of care expansion
5. **Obtain official sanction for the team**	• Formalize the SOC expansion team by obtaining official sanction for the structure, its role, and its mandate for widespread SOC implementation (e.g., executive order, memorandum of understanding, legislation) • Ensure that the decision-making process is explicit so that stakeholders understand how decisions are made within the SOC expansion effort

6. Link the team and implementation work with high-level policy and decision makers	• Assess existing policy structures embedded in the system that include high-level policy and decision makers across child-serving agencies • Determine if the high-level structure can serve as the policy-making body to which the SOC expansion team reports • If no structure exists to fulfill this function, establish a process for the SOC expansion team to link with and report to high-level policy and decision makers

Review and Clarify Previously Developed Plan for SOC Expansion

1. Review previously developed strategic plan for SOC expansion	• Briefly review the strategic plan for SOC expansion previously created as part of the SOC Expansion Planning Grant process and/or other SOC expansion plan developed in the jurisdiction • Briefly review the social marketing plan and/or social marketing goals • Ensure that all SOC expansion team members are familiar with the plan's approach, goals, strategies, and priorities

2. Clarify or refine areas of the SOC expansion plan if necessary	• Determine if minor clarifications or refinements are needed to move forward with implementation activities
	• Use this opportunity only to clarify and refine specific areas to prepare for implementation activities - avoid returning to planning phase
	• Clarify or refine overall approach to SOC expansion from one or more of the following categories:
	  – Expand geographically
	  – Expand by level of need population (e.g., the most high-need children)
	  – Expand by age bands
	  – Expand by funding eligibility
	  – Expand by service sector
	  – Other
	• Clarify or refine population of focus:
	  – All children with serious emotional disturbances in the jurisdiction
	  – Specific subset as the population of focus
	• Clarify or refine goals and strategies:
	  – Refine goals and strategies based on changing external realities, building on accomplishments, etc.
	• Clarify or refine logic model that depicts inputs, activities, and intended outcomes of SOC expansion implementation efforts
	• Identify or clarify anticipated challenges to implementation and strategies for addressing challenges
	• Continuously communicate with the group that developed the SOC expansion plan to assure their ownership and buy-in

3. Select high-priority goals for initial action	• Select high-priority goals for initial action based on those goals that:
	  – Must be accomplished first logically to lay the foundation for future strategy implementation
	  – Are likely to have the biggest impact on SOC expansion
	  – Have a high probability of success to demonstrate initial progress and build momentum
	  – Are likely to provide data that document positive outcomes, cost-effectiveness, and return on investment in the SOC approach
	  – Might take the most time and effort, and thus should be undertaken early
	  – Build on timely opportunities in the environment to support expansion goals
	  – Support interagency partner outcomes or initiatives
	• Align goals with changing external realities (e.g., building on accomplishments, managed care implementation, Medicaid redesign, ACA implementation, etc.)

4. Develop or refine a financing plan	• Review and refine financing strategies that were defined in the previously developed SOC expansion plan • Ensure that there are specific financing strategies to achieve the goals in the SOC expansion plan • Create financing strategies to achieve goals where none are already specified • Develop a separate, written financing plan that details the financing strategies to achieve expansion goals
5. Develop or refine the plan for delivering services	• Review and refine how service delivery will be accomplished in achieving SOC expansion goals: – What services – What population – What areas of the jurisdiction

Review and Improve Factors That Affect Implementation of SOC Expansion Plan

1. Realistic goals	• Ensure that goals are: – Well defined – Measurable – Achievable
2. High-priority goals	• Ensure that clear, manageable goals are established as priorities for initial action • Review rationale for the selection of priorities • Ensure that priorities reflect an intentionally strategic approach to achieving SOC expansion goals • Ensure that priority goals are likely to have a demonstrable impact on SOC expansion, and will lay the foundation for future strategy implementation
3. Specific, concrete strategies	• Review each high-priority goal against the five core strategy areas (policy and partnerships, services and supports, financing, training and technical assistance [TA], and generating support) • Ensure that each goal has defined strategies in each core strategy area that are relevant to achieving the respective goal • Ensure that strategies are specific, concrete, and clearly understandable for diverse stakeholders and audiences • Ensure that strategies are further defined with action steps, timelines, responsibilities, and methods for measuring and monitoring progress
4. Strong leaders to manage the implementation process	• Ensure that a dedicated leader is assigned as the point of accountability for managing and overseeing the work of the SOC expansion team, the staff, and the implementation of expansion strategies • Ensure that the leadership responsibility is embedded in the system and is not perceived as a temporary, grant-dependent position • Ensure that the leader has the necessary skills, knowledge, and abilities to lead SOC expansion implementation, as well as a strong commitment to the SOC approach

5. Commitment of high-level policy makers and decision makers

- Assess the level of commitment to SOC expansion among agency executives and political policy makers
- Generate support for expansion goals through strategic communications to high-priority audiences by:
  - Providing evidence of positive outcomes from SOC approach on critical dimensions (e.g., improved mental health symptomatology, increased stability of living arrangement, increased living in family context, increased success in school or employment, decreased use of residential treatment, decreased suicides or self-harm)
  - Providing evidence of impact on costs of service delivery when using SOC approach and its array of home- and community-based services
  - Highlighting areas of SOC expansion that align with administrative and political priorities
- Involve influential people and individuals with direct access to high-level policy and decision makers
- Involve families and youth to incorporate personal stories in communication strategies
- Identify champions to advocate SOC expansion

6. Cross-agency partnerships

- Determine whether the right partners are involved in SOC implementation efforts based on the goals of the SOC expansion plan (e.g., mental health, Medicaid, child welfare, juvenile justice, education, substance use, primary care, education, early childhood, transition age youth, higher education, etc., based on plan)
- Involve additional partners based on the goals of the strategic expansion plan
- Assess the level and quality of the partnerships and work to enhance as necessary:
  - Shared commitment to SOC expansion
  - Commitment of resources to SOC implementation
  - Mechanisms for cross-system collaboration at state and local levels
  - Joint training
  - Other opportunities to strengthen collaboration
- Develop formal commitments (e.g., memoranda of understanding)

7. Commitment across key stakeholders

- Assess the involvement and commitment of key stakeholders and work to enhance as necessary:
  - Family and youth organizations and leaders
  - Provider agencies and organizations
  - Clinicians and other direct service providers
  - Managed care organizations
  - Courts/judiciary
- Identify and address impediments to fully committed involvement
- Enhance involvement and commitment through work groups, subcommittees, etc., with assigned tasks in areas of expertise
- Enhance involvement and commitment through social marketing and strategic communications

8. Staff and resources allocated to implementation work

- Ensure that there is adequate staff to support the work of the SOC expansion team and the implementation of expansion strategies
- Ensure that funds are available to support the work of SOC expansion team and the implementation of expansion strategies
- Use grant resources to leverage staff and funds from partners to support the work of the SOC expansion team and the implementation of expansion strategies

9. **Opportunities for expansion in environment**	• Identify opportunities in the environment to advance the achievement of SOC expansion goals: – Health reform implementation (e.g., health homes, Medicaid expansion, waivers, state plan amendments, etc., in ACA) – Title IV-E waivers – Reform efforts in behavioral health and in other child-serving systems • Develop strategies for linking with, building on, and leveraging identified opportunities and reform efforts • Incorporate these strategies into SOC expansion efforts

Implementation of SOC Expansion Activities

Implement Systemic Changes Needed to Expand, Sustain, and Continuously Improve SOCs Based on Goals in SOC Expansion Plan

1. **Policy, Regulatory, and Partnership Changes**	• Implement policy, regulatory, and partnership changes to achieve the specific goals in the strategic expansion plan: – Establishing an organizational locus of SOC management and accountability at state and local levels – Developing and implementing strategic plans – Developing interagency structures, agreements, and partnerships for coordination and financing – Promulgating rules, regulations, guidelines, standards, and practice protocols – Incorporating the SOC approach as requirements in requests for proposals and contracts – Enacting legislation that supports the SOC approach – Incorporating the SOC approach in protocols to monitor compliance with SOC requirements – Incorporating the SOC approach into data systems for outcome measurement and quality improvement – Linking with and building on other system change initiatives (e.g., health reform, parity legislation, reforms in other systems) – Expanding family and youth involvement at the policy level – Improving cultural and linguistic competence at the policy level and incorporating strategies to eliminate disparities
2. **Expanding Services and Supports Based on the SOC Philosophy and Approach**	• Implement strategies to expand services and supports to achieve the specific goals in the strategic expansion plan: – Creating or expanding the array of home- and community-based services and supports – Creating or expanding an individualized, wraparound approach to service delivery – Creating care management entities – Creating or expanding care coordination and care management – Implementing family-driven, youth-guided services and expanding family and youth involvement at the service delivery level – Creating, expanding, or changing the provider network with new providers and by retooling, training, and aligning community and residential providers – Creating or expanding the use of evidence-informed and promising practices and practice-based evidence approaches – Improving the cultural and linguistic competence of services – Reducing racial, ethnic, and geographic disparities in service delivery – Implementing or expanding the use of technology (e.g., electronic medical records, telehealth, videoconferencing, e-therapy)

3. Financing Strategies	• Implement financing strategies specified in the financing plan to achieve the specific goals in the SOC expansion plan: – Increasing the use of Medicaid – Increasing the use of federal SOC grants, Mental Health Block Grants, and other federal grants – Redeploying funds from higher cost to lower cost services – Implementing case rates or other risk-based financing approaches – Increasing the use of state mental health and substance use funds – Increasing the use of funds from other child-serving systems – Increasing the use of local funds – Increasing the use of federal entitlements other than Medicaid – Accessing new financing structures and funding streams (e.g., health reform, parity legislation) – Leveraging informal resources (e.g., the assets of young people, families, informal supports, community organizations)
4. Training, TA, and Workforce Development Strategies	• Implement strategies for training, TA, and workforce development to achieve the specific goals in the strategic plan: – Providing training, TA, and coaching on the SOC approach – Creating ongoing training and TA capacity, including the modification of existing training and TA structures or processes to align with the SOC approach or create new structures and/or processes – Providing training, TA, and coaching on evidence-informed and promising practices and practice-based evidence approaches – Implementing strategies to prepare future workforce to work within SOC framework – Implementing strategies to diversify the workforce by including staff with cultural and language diversity, paraprofessionals, families, and youth
5. Generating Support Through Strategic Communications	• Generate support for SOC expansion to achieve the specific goals in the strategic plan through social marketing and strategic communication: – Establishing strong family and youth organizations to support expansion of the SOC approach – Generating support among high-level policy makers and administrators at state and local levels – Using data on outcomes and cost savings to promote expansion of the SOC approach – Cultivating partnerships with providers, provider organizations, managed care organizations, and other key leaders – Generating broad-based support through social marketing and strategic communications – Cultivating leaders and champions for the SOC approach – Re-evaluating social marketing goals and audiences at regular intervals to ensure alignment with implementation goals
6. Infusing SOC Values into Implementation Activities	• Ensure that SOC values guide and are infused into all SOC expansion strategies and activities: – Family-driven, youth-guided approaches to services and systems – Cultural and linguistic competence in services and systems – Cross-system collaboration in services and systems
7. Embedding Systemic Changes to Ensure Sustainability Over Time	• Review each strategy during implementation process to assess its sustainability over time • Embed and "institutionalize" strategies in policy and practice at the system and service delivery levels to ensure sustainability • Identify elements of the SOC expansion plan that partners can invest in and take a lead role in implementation

Performance Assessment

Assess Progress and Completion of Implementation Activities to Achieve Expansion Goals, Identify Barriers, and Refine Expansion Implementation Strategies

1. Completion of implementation activities	• Collect performance data on the completion of implementation activities as specified in the strategic expansion plan • Track and monitor progress in implementing expansion strategies • Track and monitor barriers encountered in implementing strategies
2. Performance assessment reports	• Prepare and submit a performance assessment report to expansion team • Prepare and submit a performance assessment report to SAMHSA twice per year on progress achieved, barriers, efforts to overcome barriers *(Grantees)*
3. Quality improvement strategies	• Identify barriers and areas needing improvement • Refine activities to implement expansion strategies

Collect and Report Data Required by the SAMHSA Common Data Platform (CDP) *(Grantees)*

1. Infrastructure measures	• Collect and enter required data on infrastructure measures in the CDP, including: – # Policy changes – # Agencies, organizations, or communities demonstrating improved readiness to change systems – # Organizations collaborating – Changes to credentialing and licensing – Amount of additional funding – # Financing policy changes – Amount of pooled, blended, braided funding – # Agencies entering into formal interagency agreements – # and % of work group/advisory group/council members who are youth/family members – # Youth/family members representing organizations involved in planning and advocacy – # Youth/family members involved in evaluation, oversight, data collection, analysis – # Individuals exposed to mental health awareness messages
2. Service delivery client-level measures	• Define the group of children for data collection on client-level measures • Define how it will be determined that they are being served with the SOC approach • Collect and enter required service delivery measures for the designated group of children in the CDP at the required intervals (CMHS Child Outcome Measures for Discretionary Programs Tool) (e.g., demographic data, services received, etc.)

Outcomes of SOC Expansion

Assess Progress in Implementing Systemic Changes

1. Implementation of systemic changes at the state, tribal, or territorial level	• Assess progress in implementation of systemic changes based on expansion plan – Changes in policy, requirements, interagency partnerships, evaluation and continuous quality improvement (CQI) – Changes to develop/expand services and supports based on the SOC philosophy – Changes in financing and resource investment – Changes in training, TA, and workforce development – Changes in support for SOC expansion
2. Quality improvement strategies	• Identify areas needing improvement • Improve expansion strategies

Assess Progress in Implementing SOCs at the Community Level	
1. **Implementation of SOC values and principles**	• Assess progress on implementation of SOC values and principles at specific intervals: – Individualized, wraparound approach – Family-driven approach – Youth-guided approach – Coordinated approach – Culturally and linguistically competent approach – Evidence-informed approach – Least restrictive approach – Broad array of home- and community-based services available – Data-driven, continuous quality improvement (CQI), and accountability approaches
2. **Implementation of services and supports consistent with the SOC approach**	• Assess progress on implementation of the services and supports provided in SOCs at specific intervals: – Availability of specific services and supports provided in SOCs (non-residential) – Availability of out-of-home treatment services for short-term treatment goals that are linked to home- and community-based services and supports
3. **Implementation of SOC infrastructure**	• Assess progress on implementation of the infrastructure elements for SOCs at specific intervals: – Point of accountability structure for SOCs – Financing structures/strategies for SOC infrastructure and services – Structure/processes to manage care for high-need populations – Interagency partnerships/agreements – Structure/processes for partnerships with family organizations and leaders – Structure/processes for partnerships with youth organizations and leaders – Structure/processes to advance culturally and linguistically competent services – Defined access/entry points to care – Sufficient provider network to deliver comprehensive array of services and supports – Structure/processes for training, TA, and workforce development – Structure/processes for measuring and monitoring quality, outcomes, and costs and using data for CQI – Structure/processes for strategic communications/social marketing – Structure/process for strategic planning and identifying and resolving barriers
4. **Resource investment in home- and community-based services and return on investment (ROI)**	• Assess progress on investing resources more effectively in home- and community-based services at specific intervals: – Increased utilization of home- and community-based services and supports – Decreased admissions and lengths of stay in out-of-home treatment settings (e.g., psychiatric hospitals, residential treatment centers, juvenile justice placements, out-of-school placements, etc.) • Assess ROI in the SOC approach: – Cost data demonstrating impact on costs across child-serving systems by utilizing home- and community-based services and supports
5. **Delivery of services and supports are provided to increasing numbers of children with the SOC approach**	• Assess progress in increasing the numbers of children served within SOCs – Identify areas within the jurisdiction that have high levels of SOC implementation – Increased number and description of children with serious mental health challenges and their families served with the SOC approach within the jurisdiction
6. **Quality improvement strategies**	• Identify areas of SOC approach needing improvement • Refine expansion implementation strategies • Provide training and TA

Assess Outcomes for Children, Youth, and Young Adults with Serious Mental Health Challenges and Their Families who are Served with the SOC Approach	
1. **Outcome data for children, youth, and young adults served in SOCs**	• Assess the extent to which children and families receive effective home- and community-based service with the SOC approach, experience positive clinical and functional outcomes, and are satisfied with their service experience • Establish a set of key outcome indicators for children served within SOCs as appropriate for the jurisdiction's expansion goals • Target indicators to generate data that can be used to support continued SOC expansion implementation efforts • Consider focusing on a small set of key outcome indicators to ensure that data collection is feasible and tailored to the goals of SOC expansion in the jurisdiction. Examples of indicators to generate policy-relevant information include: – Lives within a family context – Stable living arrangement – Improved mental health (reduced symptomatology) – Reduced/avoided substance use/abuse – Successful in education settings (e.g., preschool, school, community college) – Successful in employment – Avoided crime and delinquency – Avoided hospitalization, residential treatment – Avoided suicidality, self-harm
2. **Quality improvement strategies**	• Identify areas needing improvement • Improve service delivery approaches • Provide training and TA