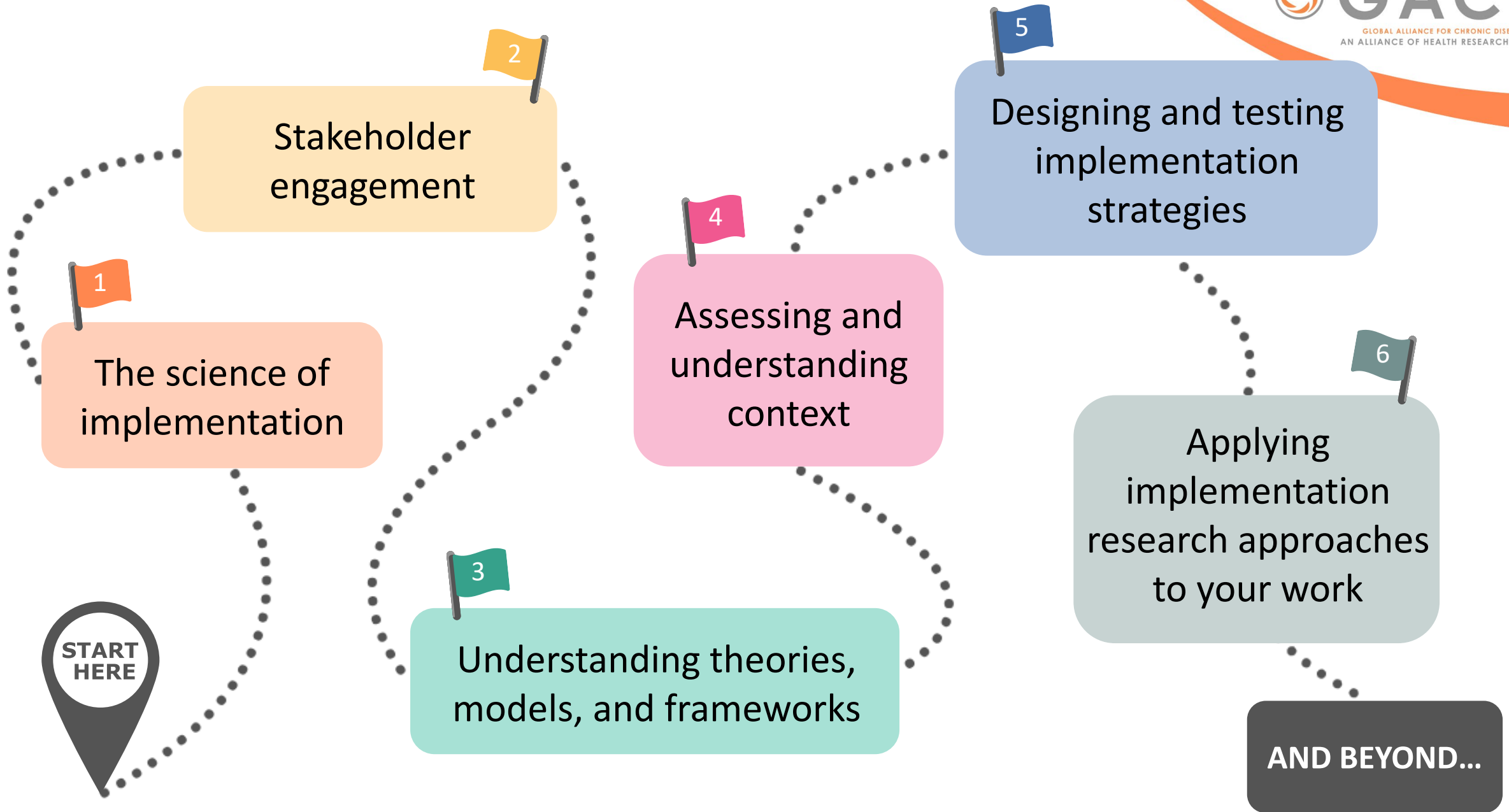MODULE 2 | LECTURE 2A

Who, what, when, and why: the importance of stakeholders
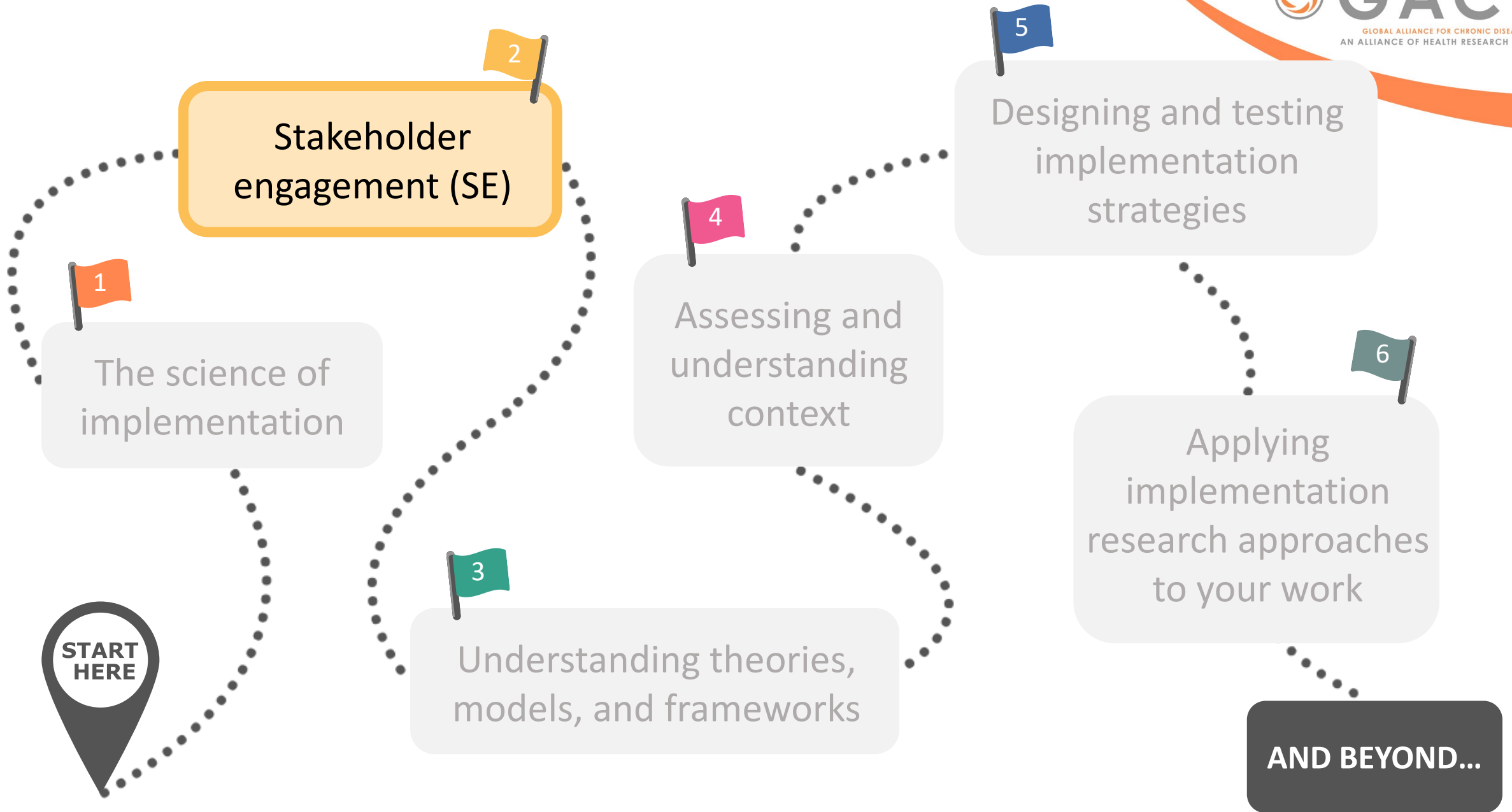
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Lecture overview

- **Why** is SE extra important for implementation science?

- Who are the stakeholders?

- What is SE?

- When?

- How?
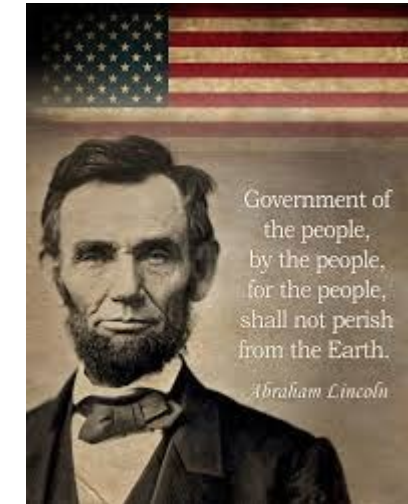
Think about an implementation research project you have done or plan to do

An example

Why? Importance of SE for IS

...because "It's all about people!"

Government of the people, by the people, for the people, shall not perish from the Earth.

Abraham Lincoln

- **Of**
- **By**
- **For**

The bottom line in all of it is that, in life, it's all about people.

— *Colin Powell* —
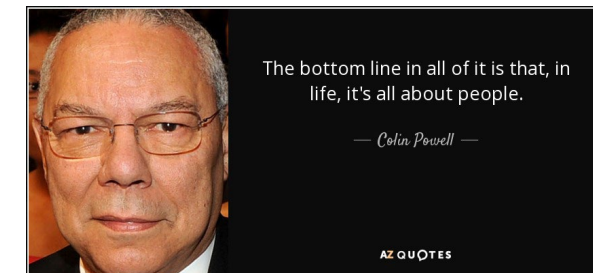
Specifically, SE can:

1. Enhance implementation outcomes and effectiveness outcomes
   - E.g., acceptability, adoption, appropriateness, cost, feasibility, fidelity, penetration (reach), and sustainability. Proctor, Enola, et al. "Outcomes for implementation research: conceptual distinctions, measurement challenges, and research agenda." *Administration and policy in mental health and mental health services research* 38 (2011): 65-76.

2. Lead to better selection and utilization of implementation strategies
   - Consider both feasibility and impact (importance)

3. Facilitate future collaborative implementation research and practical efforts
   - Long-term ongoing partnership

Pellecchia, Melanie, et al. "Engaging stakeholders."
Practical implementation science. Springer (2022): 133-54.

Who are the stakeholders?

- Stake – holders: "groups or individuals who can affect or are affected by an issue."

  Schiller, Claire, et al. "A framework for stakeholder identification in concept mapping and health research: a novel process and its application to older adult mobility and the built environment." *BMC public health* 13 (2013): 1-9.

- Someone who holds something at *stake* (vested interest)

- **The 7 Ps Framework for Identifying and Classifying Stakeholders**

  Concannon, Thomas W., et al. "A new taxonomy for stakeholder engagement in patient-centered outcomes research." *Journal of general internal medicine* 27 (2012): 985-991.

Category	Description
Patients and the public	Current and potential consumers of patient-centered health care and population-focused public health, their caregivers, families, and patient and consumer advocacy organizations
Providers	Individuals (e.g., nurses, physicians, mental health counselors, pharmacists, and other providers of care and support services) and organizations (e.g., hospitals, clinics, community health centers, community-based organizations, pharmacies, EMS agencies, skilled nursing facilities, schools) that provide care to patients and populations
Purchasers	Employers, the self-insured, government and other entities responsible for underwriting the costs of health care
Payers	Insurers, Medicare and Medicaid, state insurance exchanges, individuals with deductibles, and others responsible for reimbursement for interventions and episodes of care
Policy makers	The White House, Department of Health and Human Services, Congress, states, professional associations, intermediaries, and other policy-making entities
Product makers	Drug and device manufacturers
Principal investigators	Other researchers and their funders

Example: The SINEMA study

System-Integrated Technology-Enabled Model of Care (SINEMA) for

Stroke Management in Rural China

Who are the stakeholders for SINEMA?

- Patients and the public
- Providers
- Purchasers
- Payers
- Policy makers
- Product makers
- Principal investigators

- Stroke patients and their family members
- Village doctors, specialists
- Nanhe County government
- "New rural cooperative medical scheme"
- Ministry/Department of health leaders
- China mobile smart health institute
- Research team

What is SE?

"A **bi-directional** relationship between the stakeholder and researcher *(or implementer)* that results in informed decision-making about the selection, conduct, and use of research." Concannan et al., 2012, p. 986
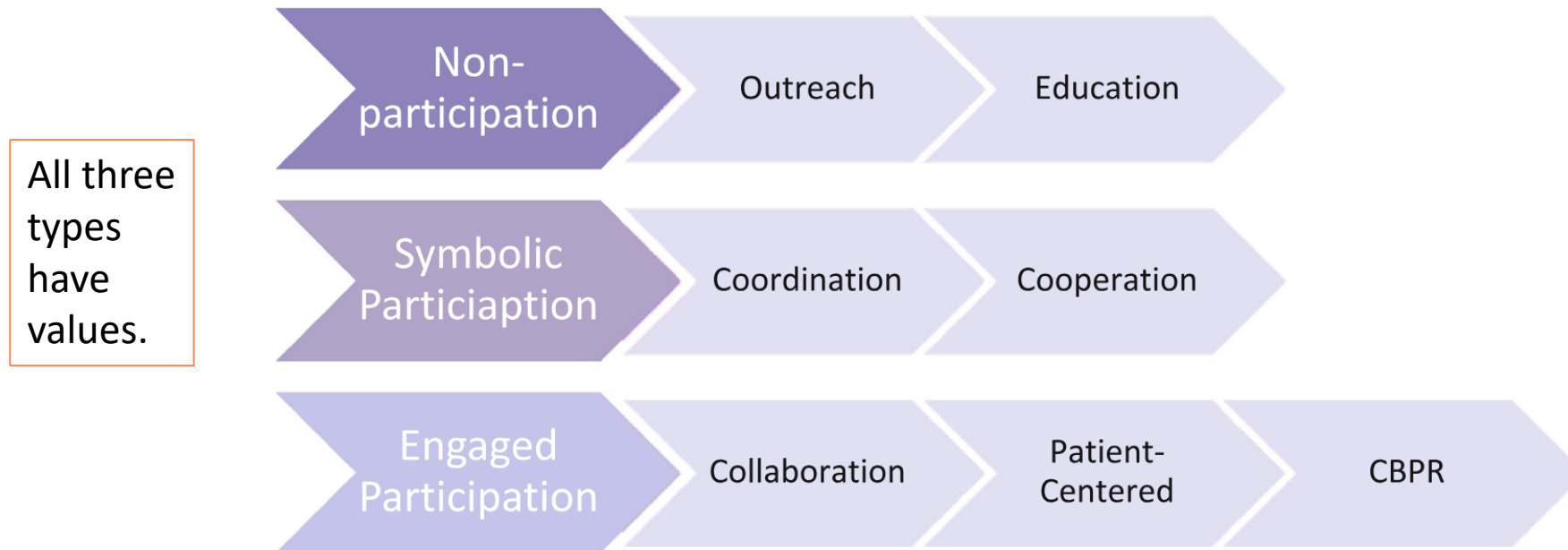
All three types have values.

Fig. 1 | Categories and classifications of stakeholder engagement. Stakeholder engagement is grouped into three broad categories: non-participation, symbolic participation, and engaged participation. Each of the broad categories is classified into subgroups. Subgroups in non-participation include outreach and education. Subgroups in symbolic participation include coordination and cooperation. Subgroups in engaged participation include collaboration, patient-centered, and community-based participatory research (CBPR)

Goodman, Melody S., and Vetta L. Sanders Thompson. "The science of stakeholder engagement in research: classification, implementation, and evaluation." *Translational behavioral medicine* 7.3 (2017): 486-491.

When to engage stakeholders?

EPIS FRAMEWORK IMPLEMENTATION PHASE	EXAMPLES OF STAKEHOLDER INVOLVEMENT
Exploration	Identifying practice gap Conducting a needs assessment
Preparation	Selecting innovation to implement Identifying implementation setting Identifying implementers Identifying consumers/patients Selecting outcomes of interest Providing input on the implementation plan
Active Implementation	Providing feedback on the implementation process Guiding implementation adaptations Interpreting implementation outcomes
Sustainment	Disseminating implementation findings Taking over ongoing implementation

THROUGHOUT

But no need to engage all at all times

Pellecchia, Melanie, et al. "Engaging stakeholders."
Practical implementation science. Springer (2022): 133-54. Table 6.5

How to identify stakeholders?
Through a stakeholder analyses

1. Identify potential stakeholders

   ▪ Expert opinions; focus groups; structured interviews;

   ▪ Snowball sampling

2. Gather information through interviews or surveys

   ▪ Assess key factors: power, position, influence

3. Compile a list of stakeholders for engagement

   ▪ Based on 1 and 2 above

   ▪ Iteratively update the list based on new information

      throughout the implementation process

Key factors from a policy perspective (can replace policy with the implementation initiative)

Roberts *et al.* (2008)	
Interest	Degree to which stakeholders likely to be affected by policy change. (Degree of interest or concern they have in or about a policy will influence how the stakeholder's resources, and how much of those resources, will be used in the policy debate.)
Positions	View on the policy issue and position in relation to policy change being proposed, i.e. support or oppose? Also involves assessment of intensity of each group's position on an issue.
Power	Potential capacity to influence policy decisions. Power judgement based on assessment of stakeholder's resources and location in the political system. Interested in power relative to others.

Roberts MJ, Hsiao W, Berman P, Reich MR. 2008. Getting Health Reform Right. Oxford: Oxford University Press.

Implementation strategies for SE

- Capture and share local knowledge
- Identify and prepare champions
- Recruit, designate and train for leadership
- Conduct educational meetings
- Conduct educational outreach visits
- Conduct local consensus discussions
- Obtain and use patient/consumer feedback
- Use advisory boards and workgroups
- Build a coalition

Develop stakeholder interrelations

Or

Train and educate stakeholders

Powell, Byron J., et al. "A refined compilation of implementation strategies: results from the Expert Recommendations for Implementing Change (ERIC) project." *Implementation science* 10 (2015): 1-14.

Examples of SE strategies

- Community advisory group involving multiple stakeholders
- Village-wide briefing to inform and engage patients
- Educational meetings for village doctors
- Social media (*Wechat*) and sharing of local knowledge through small groups
- Benchmarking and awards

Challenges of SE

- Can be time consuming
- Lack of commitment or buy-in ("superficial engagement")
- Competing priorities of stakeholders
- Valuing different outcomes

Vision, Valley, Victory

Key messages

- Stakeholder engagement is critically important for implementation research in improving processes, outcomes, and sustainability

- The 7 Ps framework of classifying stakeholders

- Three levels of SE: non-participation, symbolic participation, and engaged participation

- Identifying stakeholders through a stakeholder analysis

- SE is needed from onset to finish throughout the entire process

  Unite with vision, work through valleys, and celebrate victories

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