



NHS Service Delivery and Organisation National R & D Programme

## NHS SERVICE DELIVERY AND ORGANISATION R&D PROGRAMME

### PROGRAMME OF RESEARCH ON CHANGE MANAGEMENT

The NHS Service Delivery and Organisation (SDO) R&D Programme recently launched a new programme of commissioned research on change management. The initial phase was concerned with large-scale change in multi-professional organisations, and with the involvement of service users and carers in change management. Studies in these areas have now been commissioned.

The SDO is now extending this research into the ***diffusion, spread and sustainability*** of innovations in health service delivery and organisation. This work is being commissioned on behalf of the NHS Modernisation Agency in order to inform its work, and it complements the programme of research concerning the ***evaluation*** of specific innovations which has recently been advertised (see [www.sdo.lshtm.ac.uk](http://www.sdo.lshtm.ac.uk)). As a first step, a review of the relevant diffusion, spread and sustainability of innovation literature is being commissioned, and research proposals for this are now invited.

### REVIEW OF THE LITERATURE: DIFFUSION, SPREAD AND SUSTAINABILITY OF INNOVATIONS IN HEALTH SERVICE DELIVERY AND ORGANISATION

#### Introduction

Publication of the White Paper *A First Class Service* (DOH, 1998) emphasised the need for change in the pursuit of quality, and focused attention on both the implementation and management of change. The NHS Plan (DoH, 2000) also made it clear that far-reaching change is needed if the health service is to deliver the standards that patients expect and staff want to provide. Furthermore, the modernisation agenda for the NHS requires a high degree of innovation in the models of health service delivery and organisation.

A review of organisational change aimed at health care managers, health service professionals and researchers was published in May 2001,<sup>1</sup> together with a booklet *Making Informed Decisions on Change* giving key points for health care managers and professionals.<sup>2</sup> The review identified a number of areas for future research, including research on innovations. The NHS Modernisation Agency has since requested that research specifically on the diffusion, spread and sustainability of innovations in service delivery and organisation be commissioned in order to inform its work.

Applicants should refer to the two *Managing Change in the NHS* documents referred to above for more detailed information. In addition, they should be familiar with the

activities of the NHS Modernisation Agency as described in its 2001/2002 Work Programme.<sup>3</sup>

### **Current call for proposals**

The SDO Programme now wishes to commission a review of the literature on theory and evidence in relation to the diffusion, spread and sustainability of innovations in health service delivery and organisation, including those undertaken at the interface between health and social care.

For the purpose of this call, the terms 'diffusion' and 'spread' are both used. This acknowledges that both have been used in different ways in the literature within the context of debate about their nature, in terms such as passive versus active and linear versus non-linear. Applicants should be familiar with these debates and with relevant texts on the diffusion, spread and sustainability of innovation, including the work of Rogers,<sup>4</sup> Walton,<sup>5</sup> and Pettigrew, Ferlie and McKee.<sup>6</sup> The review should build on this body of literature.

### **The review of the literature**

The aim of this literature review is to inform both the SDO programme and the NHS Modernisation Agency about the extent of theory and evidence in relation to the diffusion, spread and sustainability of innovations in **health service delivery and organisation** (including those at the interface between health and social care). It should be noted that the review is **not** about the diffusion, spread and sustainability of clinical interventions, which is the subject of separately funded studies. The review will also advise the SDO programme on what further research should be commissioned in this area.

Researchers will be expected to draw on a broad range of both evidence and theory. Relevant research may include studies from both the public and private sectors, from voluntary and social services, and from any country. Relevant literature is likely to extend way beyond the boundaries of health and social care.

Such research should, however, be relevant within the context of innovation in health service delivery and organisation in the NHS, and this relevance should be made explicit. In particular, applicants should address specific issues of diffusion, spread and sustainability relevant to NHS Modernisation Agency programmes, such as the Collaboratives, and other initiatives designed to improve the delivery of services.

It is expected that researchers will address the following questions:

- What are the specific lessons that can be drawn from this experience that are of particular relevance and importance for the NHS Modernisation Agency and the wider NHS?
- What factors have influenced organisations in adopting innovations in health service delivery and organisation, including organisational culture?
- What are the factors that have contributed to the successful diffusion, spread of innovations in health service delivery and organisation?
- What are the factors that have contributed to successful sustainability of innovations in health service delivery and organisation?
- What is the nature of the innovations with which they have been associated?

- To what extent have service users and carers worked with professionals, managers and other groups in the diffusion, spread and sustainability of innovations in health service delivery and organisation?

The review should include the following elements:

1. A comprehensive review of the available published and grey research literature, including relevant evidence from countries other than the United Kingdom, and from a broad range of service organisations, on the diffusion, spread and sustainability of innovations in health service delivery and organisation.
2. The literature on theory and evidence should be presented separately where appropriate, and an analysis of the strength of the relationship between the two provided.
3. The review should be sufficiently comprehensive and rigorous to be able to identify the significant research that has been carried out, gaps in the field, and relevant methodological issues which may be important to consider in future commissioning.
4. It is expected that, in order to support the identification of appropriate literature and evidence, consultation will take place with relevant experts in this area.
5. The current policy context of the NHS in England should be made explicit. This will include reference to the full range of health-related initiatives and developments that have been launched in recent years, including the NHS Plan and *Shifting the Balance of Power*.<sup>7</sup>

Where appropriate, researchers should identify examples of successful diffusion, spread and sustainability of innovations in health service delivery and organisation that have particular relevance and importance to the NHS Modernisation Agency.

## Methods

Applicants should clearly outline their proposed methods for the review of the literature. The following areas should be covered:

1. Methods for identifying relevant published and grey literature. It is expected that applicants will plan to use a variety of methods including: the research team's prior knowledge; search of electronic databases; and advice from key researchers and practitioners in the field.
2. Methods for identifying relevant innovations in health service delivery and organisation, introduced by both private and voluntary sector service providers.
3. Applicants should demonstrate that they have assembled a team of researchers whose knowledge and skills are sufficiently broad to deal with the variety of innovations in health service delivery and organisation, both nationally and internationally.

## **Outputs**

The principal output of the literature review will be a detailed report that should:

- critically describe the literature on theory in relation to diffusion, spread and sustainability of innovations in health service delivery and organisation;
- provide a critique of the evidence from empirical studies of diffusion, spread and sustainability of innovations in health service delivery and organisation;
- provide a detailed analysis of the relationship between theory and evidence in relation to diffusion, spread and sustainability of innovations in health service delivery and organisation;
- clearly identify areas for further research and how they might be addressed. This could include both further reviews of the literature and/or primary research; and
- provide a detailed analysis of the current policy context within the NHS as it affects diffusion, spread and sustainability of innovations in health service delivery and organisation, based on the available evidence.

The findings will need to be presented in a format that will be helpful to end-users, particularly those with responsibility for maximising diffusion, spread and sustainability of innovations in health service delivery and organisation. The audience for this report will be all those with responsibilities for implementing the NHS Plan, and those with direct clinical governance responsibilities.

This report will also be used to inform the SDO Commissioning Board on the approaches to take when commissioning substantive research in this area. It is anticipated that further R&D will be commissioned on this topic in due course.

The successful applicant may also be required to make a short oral presentation of their completed report to the SDO Commissioning Board.

## **Guidance Notes**

Applications will be considered in a single stage process. Applicants should therefore submit full proposals using the A4 Literature Review Application Form. Applicants should submit **TWENTY-FIVE HARD COPIES** of their proposal to:

Ms Kate Thomas,  
Commissioning Manager,  
National Co-ordinating Centre for NHS Service Delivery and Organisation Research and Development,  
London School of Hygiene and Tropical Medicine,  
99 Gower Street,  
London WC1E 6AZ.

The deadline for submission of proposals is by **1pm on Friday 7<sup>th</sup> June 2002**. No late applications will be considered. Please note that we will not accept electronic submissions, faxed or hand written proposals.

The A4 Literature Review Application Form is available as a Word 97 file or Rich text format from:

- the SDO website: <http://www.sdo.lshtm.ac.uk/calls.htm>, or
- by Email from: [kate.thomas@lshtm.ac.uk](mailto:kate.thomas@lshtm.ac.uk)

**TWENTY FIVE HARD COPIES** of the proposals should be submitted using the A4 Literature Review Application Form. (minimum font 10pt). Please follow the guidance notes that can be found at the front of this application form on pages 2 and 3.

Please ensure that your proposal complies with the Research Governance Framework, which can be found on the Department of Health web-site, or via a link on the SDO web-site under the 'Call for Proposals' page.

The budget for this literature review is expected to be up to **£80,000**. It is anticipated that a single project will be commissioned. Please note that our final decision will be based on the overall quality of the applications received.

Projects should start by the end of **October 2002** and must be completed within nine months.

We anticipate that there will be informal discussions with NCCSDO during the period in which the report is prepared to clarify issues as they arise.

## References

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<sup>1</sup> Iles, V. and Sutherland, K. *Organisational Change: A review of for health care managers, professionals and researchers*. London: NCCSDO, 2001 ([www.sdo.lshtm.ac.uk/publications.htm](http://www.sdo.lshtm.ac.uk/publications.htm)).

<sup>2</sup> *Making Informed Decisions on Change: Key points for health care managers and professionals*. London: NCCSDO, 2001 ([www.sdo.lshtm.ac.uk/publications.htm](http://www.sdo.lshtm.ac.uk/publications.htm)).

<sup>3</sup> *Supporting Delivery: NHS Modernisation Agency Work Programme 2001/2002*, London: Department of Health.

<sup>4</sup> Rogers, E.M. (1995), *Diffusion, spread and sustainability of Innovations*, fourth edition, New York: Free Press.

<sup>5</sup> Walton, R.E. (1987), *Innovating to Compete*, San Francisco: Jossey Bass.

<sup>6</sup> Pettigrew, A., Ferlie, E. and McKee, L. (1992), *Shaping Strategic Change: The Case of the National Health Service*, London: Sage.

<sup>7</sup> *Shifting the Balance of Power: Securing Delivery*, (2001), London: Department of Health.

**Addendum**

This document was published by the National Coordinating Centre for the Service Delivery and Organisation (NCCSDO) research programme, managed by the London School of Hygiene & Tropical Medicine.

The management of the Service Delivery and Organisation (SDO) programme has now transferred to the National Institute for Health Research Evaluations, Trials and Studies Coordinating Centre (NETSCC) based at the University of Southampton. Prior to April 2009, NETSCC had no involvement in the commissioning or production of this document and therefore we may not be able to comment on the background or technical detail of this document. Should you have any queries please contact [sdo@southampton.ac.uk](mailto:sdo@southampton.ac.uk).