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# Accepted Manuscript

Cochrane Qualitative and Implementation Methods Group Guidance Paper 3: Methods for Assessing Evidence on Intervention Implementation

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- 1 Title. Cochrane Qualitative and Implementation Methods Group Guidance Paper 3: Methods for
- 2 Assessing Evidence on Intervention Implementation

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#### Abstract 78

Objective: This article provides reviewers with guidance on methods for identifying and 79 80 processing evidence to understand intervention implementation. Study Design and Setting: Strategies, tools and methods are applied to the systematic review process to illustrate how 81 process and implementation can be addressed using quantitative, qualitative and other 82 sources of evidence (i.e., descriptive textual, non-empirical). Results: Reviewers can take 83 steps to navigate the heterogeneity and level of uncertainty present in the concepts, 84 85 measures and methods used to assess implementation. Activities can be undertaken in advance of a Cochrane quantitative review to develop program theory and logic models that 86 situate implementation in the causal chain. Four search strategies are offered to retrieve 87 process and implementation evidence. Recommendations are made for addressing rigour or 88 risk of bias in process evaluation or implementation evidence. Strategies are recommended 89 90 for locating and extracting data from primary studies. The basic logic is presented to assist reviewers to make initial review level judgements about implementation failure and theory 91 failure. Conclusion: Although strategies, tools and methods can assist reviewers to address 92 93 process and implementation using quantitative, qualitative and other forms of evidence, few exemplar reviews exist. There is a need for further methodological development and 94 trialling of proposed approaches. 95 96 Running Title: Methods for Assessing Evidence on Intervention Implementation Keywords: Systematic reviews, process evaluation, implementation, Cochrane, qualitative 97 evidence synthesis; mixed-method synthesis

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## Key findings:

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Strategies, tools and methods are available to support reviewers to address process and implementation using qualitative and process evaluation evidence and other evidence from quantitative studies included in Cochrane reviews.

#### What this paper adds to what was known?

Cochrane quantitative reviews of interventions should include steps to identify, synthesise and then integrate evidence to address reach, dose, fidelity, co-intervention, contamination and the role of contextual factors on implementation.

#### What is the implication and what should change now?

Cochrane quantitative reviews use risk of bias tools to rule out evaluation failure. This guidance suggests that systematic reviewers use complementary tools to make informed judgements about implementation failure and theory failure to strengthen internal validity and enhance the uptake of review findings by decision-makers.

104 105

In 2013, the Cochrane Qualitative and Implementation Methods Group (CQIMG) expanded
its remit to include issues related to assessing implementation in systematic reviews of
interventions. The CQIMG focus on implementation complements the scope of work of the
Cochrane Effective Practice and Organisation of Care Group which undertakes systematic
reviews of educational, behavioural, financial, regulatory and organisational interventions
designed to improve health professional practice and the organisation of health care
services.

113 Implementation, conceptualized as a planned and deliberatively initiated effort with the 114 intention to put an intervention into practice (1), occupies the space between the 'blueprint 115 for the intervention' (i.e., assumptions articulating how and why an intervention is supposed 116 to work) and the 'outcomes observed in practice'. Process evaluation investigates the 117 activities and internal dynamics of an intervention during its implementation to determine 118 how well an intervention operates (2, 3). This article provides reviewers with guidance on 119 how to approach process and implementation in a Cochrane quantitative review of the

effects of an intervention. Some of the issues discussed are relevant for both qualitative 120 and quantitative reviews. This paper should be read in conjunction with the articles in this 121 series about question formulation (4), evidence-appropriate methods for qualitative 122 123 synthesis of evidence on implementation(5) and methods for integrating findings from 124 qualitative syntheses with intervention effectiveness reviews (6), as it provides complementary 125 information on how to refine implementation questions, retrieve process evaluation evaluations or implementation data and rule out implementation failure and theory failure 126 127 when integrating the findings from qualitative syntheses with intervention effectiveness 128 reviews.

#### 129 Why is implementation important?

Too often quantitative reviews assess intervention outcomes (i.e., does it work) without 130 considering how the process of implementation influences observed outcomes. In these 131 132 reviews, causal inferences can be undermined from limitations in the design, data collection 133 and analysis of primary studies and lead to an under- or overestimation of the true intervention effect. To assess the internal validity of primary quantitative studies, review 134 135 authors apply risk of bias tools to make judgements about a number of methodological biases (i.e., selection, performance, detection, attrition, reporting) (7). Assessing risk of bias 136 137 can rule out evaluation failure due to methodological biases that compromise internal 138 validity (2). Although risk of bias is necessary to assess the strength of causal inferences in determining whether interventions are successful, it is not sufficient. Reviewers additionally 139 140 need to establish the presence of a functional relationship between intervention 141 implementation (i.e., independent variable) and a change in the outcome (i.e., dependent 142 variable). To draw valid conclusions both need to be defined and evaluated. At a practical 143 level information needs to be extracted from each primary study to inform a judgement about the integrity of implementation, and to examine whether specified procedures in the 144 primary studies were implemented as outlined in the intervention protocols. 145

Formal evaluation of implementation in a process evaluation enables reviewers to
determine whether key implementation outputs were achieved (8). Synthesising this
information across primary studies can enhance the internal validity of systematic reviews
by ruling out implementation failure and theory failure and provide decision-makers with
insights into the conditions needed to generate positive outcomes in the target population

(8). Implementation failure is suspect when the lack of expected outcomes is attributed to 151 poor implementation practices. Theory failure is suspect when intervention activities are 152 implemented according to the specified standards, guidelines or intervention design 153 154 strategy but expected outcomes are not observed. This suggests that the theory, logic or set 155 of assumptions that specify how the intervention was expected to bring about change was 156 incorrect (9). It is additionally important to consider the important role of contextual factors as interventions can be implemented and received differently in different contexts (10). 157 Moreover, an unfavourable context can have a significant impact on the feasibility to 158 159 implement or scale-up an intervention (11).

- 160 The example in Box 1 illustrates how the behavioural effects of a school-based program for
- 161 children are influenced by implementation.

Box 1: Example highlighting the importance of accounting for implementation in quantitative reviews of interventions.

Aspects of implementation were accounted for in a systematic review that assessed the effects of universal school-based social information processing interventions on the aggressive and disruptive behaviour of school-age children(12). Studies reporting problems with program implementation produced smaller effect sizes compared to those not reporting such problems. Moreover, programs delivering more frequent treatment sessions per week were more effective than programs delivered less frequently. Review authors hypothesise that the cognitive skills emphasised by these types of programs may be hard to master and that more frequent delivery provides children with more opportunities for practice and reinforcement. These measures of implementation provide decision-makers with useful information on the conditions under which social information programs are more likely to reduce aggressive and disruptive behaviour in children.

162

#### 163 What aspects of implementation are assessed and how?

164 Assessing implementation is a crucial component in the systematic reviews of quantitative 165 health and social care interventions. Lack of information on intervention implementation

weakens internal validity and inhibits the translation and uptake of evidence by decision-166 makers to inform policy and practice. Aspects of implementation can be quantitatively 167 assessed in different types of studies. These studies include randomised trials which answer 168 169 questions pertaining to "Can this intervention work in highly controlled or ideal conditions?" positioned at the explanatory end of the pragmatic-explanatory spectrum (10) (i.e., 170 'efficacy' studies) and "Does this intervention work in real world or usual care conditions?" 171 positioned at the pragmatic end of the pragmatic-explanatory spectrum (i.e., 'effectiveness' 172 studies). Dissemination studies evaluate how the targeted distribution of intervention 173 174 materials to a specific audience can be successfully implemented so the increased spread of 175 knowledge about the evidence-based achieves greater use and impact of the evidence-176 based interventions(13). Implementation studies evaluate how a specific set of activities and designed strategies are used to successfully integrate and sustain an evidence-based 177 178 interventions within specific settings (13). Scale-up studies evaluate deliberate efforts to 179 increase the impact of evidence-based interventions to benefit more people and to foster 180 policy and program development on as lasting basis(13). Policy analysis, which involves identifying the possible policy options to address a health and social care problem and then 181 182 using the appropriate methods to determine the most effective, feasible and efficient option, is featured in dissemination, implementation and scale-up studies. In addition, it is 183 184 increasingly common that qualitative 'sibling' studies and mixed-method process evaluations are undertaken alongside a trial, which can be synthesised to better understand 185 the political and operational factors associated with the implementation of health policy, 186 health systems, behavioural, environmental or clinical interventions. A synthesis of 187 qualitative studies that are unrelated to trials can also be helpful in understanding the 188 189 factors that affect intervention implementation (14, 15).

190

Process evaluations focus on one or more aspects of implementation, including reach, dose delivered, dose received, fidelity, adaptation, intervention quality, recruitment, provider engagement, participant engagement and contamination, co-intervention. Contamination and co-intervention are commonly included in risk of bias assessments (10, 16, 17). Table 1 provides definitions for these terms with example quantitative indicators and qualitative questions. At a minimum, it is recommended that a process evaluation includes information on reach, dose delivered/ received, fidelity and co-intervention, contamination (17) and

supplementary information on contextual factors (10, 17, 18). Including the latter in 198 process evaluation aligns with the growing body of literature on complex interventions 199 which recognises that intervention outcomes and implementation are highly influenced by 200 201 contextual factors (1). The specific measures used to assess implementation in interventions will vary depending on whether reviews include efficacy, effectiveness, 202 dissemination, implementation, policy or scale-up studies. The reason for this is that 203 204 implementation is defined relative to the intervention content and as studies move from bench to bedside to population, the concepts of reach, dose and fidelity pertain to different 205 206 aspects of the health and social care system. In complex reviews it is possible that these 207 concepts may be assessed at two levels of the system (e.g., extent to which patients adhere 208 to a treatment and the extent to which clinicians adhere to practice guidelines). In this 209 regard, Harris (4) provides strategies for reviewers to apply in formulating review questions 210 for complex interventions, which may include those with multiple implementation chains. 211 We recommend review authors consider these dimensions as minimum requirements for 212 inclusion in systematic reviews, and further consider reach, dose delivered/ received, fidelity and co-intervention, contamination as 'Other sources of bias' in the Cochrane 'Risk 213 214 of bias' tool (7). When process evaluations in quantitative reviews are lacking, or results do not adequately address decision-makers concerns and qualitative perspectives on 215 216 implementation are sought (Table 1) we recommend review authors collaborate with qualitative review teams to meet these minimum requirements (19). 217

#### 219 Context-dependence of implementation

220 As a process, implementation is context-dependent and concerns the actions required to put an 'intervention blueprint' into practice (10). Context includes the immediate 221 environment in which an intervention is implemented and broader environment that shapes 222 223 the resources, political support and norms influencing engagement of the target audience (e.g., patients, practitioners). It can be difficult for reviewers to grasp these dimensions of 224 225 implementation and locate them in a process evaluation. The UK Medical Research Council 226 (MRC) Guidance on process evaluation of complex interventions provides a framework that 227 links context, with the intervention description, implementation and the mechanisms of impact on outcomes (10). The framework in Figure 1 situates an intervention and its 228 designated target populations in relation to the immediate and broader contexts within 229 which the intervention is planned, implemented and evaluated (20). It can be used in 230 231 conjunction with the MRC framework to help reviewers frame implementation in a formal 232 logic model within their Cochrane review of quantitative interventions. The red line drawn around the intervention, target populations and program implementation boxes in Figure 1 233 234 visually depicts how resources and the external environment in addition to factors internal 235 to the program environment (i.e., action model), are instrumental to shaping 236 implementation. Box 2 illustrates how intervention outcomes can vary according to

237 contextual factors.

Box 2: Example of contextual factors influencing program outcomes

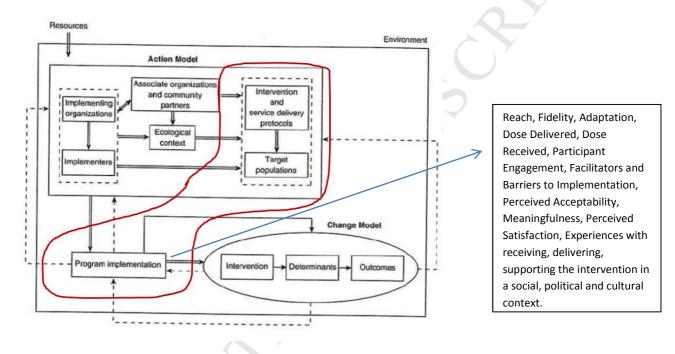
A meta-analysis of school-based programs to reduce bullying and victimisation found the impacts of these programs to vary by country of implementation (21). The programs worked better in Norway specifically and Europe more generally as compared to North America. The review authors posit that Scandinavian schools have a tradition of state intervention in social welfare and that the program context (i.e., high quality schools with small classes and well-trained teachers) may also contribute to the observed differences in outcomes.

238

239 Intervention delivery and service delivery protocols specify the nature, content and

240 activities of an intervention, including its operating procedures, and the particular steps that

- need to be taken to implement the intervention(20). This is the 'blueprint for the
- 242 intervention'. What is implemented and how it is implemented to reach its designated
- 243 target populations is documented through process evaluation. Implementation can be
- 244 measured quantitatively through self-report surveys, structured observations, and
- secondary analysis of routine monitoring data or qualitatively through focus groups,
- 246 individual interviews, unstructured observations (10) and open-ended survey questions.
- 247 Figure 1. Conceptual Framework to Situate Implementation in Relation to Context



248

- 249 Source: Chen H-T. Practical Program Evaluation. Thousand Oaks, CA: Sage Publications, 2005.
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- 251 Steps of the Systematic Review Process
- 252 Increasingly, review authors of both quantitative and qualitative reviews are being called to
- address issues relevant to context and implementation to make the findings more
- applicable to decision-makers. We used the steps of the review process to illustrate how
- 255 qualitative and other sources of evidence on implementation can be synthesised and then
- 256 integrated with evidence of effect.

## 257 Step 1 - Framing the Problem and Refining Implementation Questions

- 258 The first step in a quantitative systematic review frames the problem and identifies which
- aspects of implementation are relevant. Framing the problem is driven by a number of

factors including the state of knowledge on a review topic, level of resourcing, timeframe, 260 expertise, stakeholder input, and expectations from the review commissioners. Knowing 261 where to start can be challenging for review authors especially if one or more of the 262 263 following conditions is present: (a) there is considerable heterogeneity in the interventions considered for a review; (b) there is little understanding of how interventions work to 264 produce outcomes for the population or context(s) of interest; (c) aspects of 265 implementation are not clearly understood, are poorly defined or the evidence needed to 266 address implementation cannot be clearly specified; (d) it is not clear how to frame the 267 268 review question from an implementation perspective; or (e) stakeholders raise questions 269 that are pertinent to implementation, and it is not clear how to address them. If one or 270 more of these situations is apparent, we recommend a scoping review or other review 271 activity with an implementation focus be undertaken, as outlined in Table 2, to help define 272 or refine implementation issues and questions of interest (22) and inform a subsequent 273 Cochrane systematic review of interventions. These methods align with current systematic 274 review practices and guidance to formulate review questions that are inclusive of process and implementation issues (23, 24). Brief descriptions of the methods are provided in 275 276 Appendix 1, available online as supplementary material (www.jclinepi.com).

Table 2: Strategies, methods and tools to help refine the questions and scope of a Cochraneeffectiveness review.

Issue or circumstance	Review activity	Tools to assist	Product
When a broad range of	Critical Review (25)	Principles of simple,	Classification of
interventions have been 人		complicated and	interventions;
implemented to address a	Textual Narrative	complex	identification of
health issue.	Synthesis(26)	interventions (27);	program theory, logic
		Template for	model, implementation
		Intervention	measures/ processes.
Lack of clarity in	Scoping Review [13]	Description and	Implementation
implementation concepts,		Replication (TiDIER)	definitions for an
definitions, measures or	Concept Analysis(29)	(28); Logic model	effectiveness review;
methods for a review.		template to situate	implementation
		implementation(23)	concepts to assess in a
			qualitative synthesis.
An intervention model or	Best-fit framework	Logic model	Framework to guide the
framework for an	(30)	template to situate	review with
effectiveness review		implementation(23)	implementation situated
requires adaptation to			in the framework.
another topic or context.			
Poor understanding of	Grounded Theory,	Logic model	Program theory and

program theory and how	Realist Synthesis,	template to situate	logic model with
implementation relates to	Meta-Ethnography,	implementation	implementation
outcomes; review	Meta-Interpretation	(23)	concepts and indicators
resources are available.	(24)		identified.
As above, but review	Program theory	Logic model	Program theory and
resources are not	mapping workshop	template; 'how-to'	logic model with
available.		resources (27);	implementation
		engage consultant.	concepts identified.

- 279 Following Harris (4) and the Evidence for Policy and Practice Information and Co-ordinating
- 280 Centre (EPPI-Centre)(31, 32), we recommend that reviewers engage stakeholders in the
- 281 preparatory stage to ensure that the review scope is appropriate and resulting products
- address the implementation inquiry questions and concerns of decision-makers. These
- 283 review activities will increase the internal validity of constructs, measures and methods
- used in a quantitative review which can reduce the likelihood of evaluation failure and
- strengthen the basis for making judgements that rule out implementation and theory
- 286 failure.

#### 287 Step 2 - Searching

- As shown in Table 1, a search for the following types of evidence may potentially help with understanding intervention implementation:
- 'Implementation evidence' from quantitative studies (e.g. RCTs included in the effect
   review) on dose and reach etc.
- Process evaluation evidence' qualitative and quantitative evidence from process
   evaluations conducted alongside trials
- 'Trial sibling qualitative studies' conducted alongside trials
- 'Unrelated qualitative studies' with no relationship to trials
- Economic evaluations conducted alongside trials
- 297

Retrieval of process evaluations and implementation evidence of all types is problematic for 298 299 at least three reasons. First, process evaluations may not exist. Second, when they do exist, 300 they may not be clearly identifiable in terms of key terms for their retrieval. Third, process evaluations may not be published in the peer reviewed literature (33) and, therefore, carry 301 302 the challenges associated with retrieving grey or fugitive literature (34). The CQIMG has identified four potential approaches to identify process evaluations in a systematic review 303 (35). The approach that is used will be determined by factors such as the review purpose, 304 305 time and resource constraints and the perceived risk of how deficiencies in the search

process will impact upon the uncertainty of the review results. The first approach for 306 307 retrieving process evaluations is to transfer identification from the search process to the sift 308 process. This involves conducting a sensitive topic search without any publication 309 restrictions (36). The review team works its way systematically through the titles and abstracts of retrieved references looking for indications of process data by using the 310 311 dimensions highlighted in Table 1. This approach is feasible when a review question involves multiple publication types e.g. RCT, qualitative research and economic evaluations, which 312 are not being searched for separately. The second approach retrieves process evaluations 313 314 within randomised control trials for which the Cochrane has developed a highly sensitive 315 search strategy (filter) (37). If a process evaluation has been published in a journal article 316 and mentions the trial in the abstract, this method proves effective. The third option is to use unevaluated filter terms to retrieve process evaluations or implementation data. 317 318 Approaches using strings of terms associated with the study type or purpose is considered 319 experimental. There is a need to develop and test such filters. It is likely that such filters 320 may be derived from the study type (process evaluation), the data type (process data) or the application (implementation). The last of these is likely to prove problematic because a 321 322 study can describe implementation without necessarily using the word "implementation" (38). The fourth approach relies on citations-based approaches. We have proposed the 323 324 identification of 'clusters' containing all accounts, published or unpublished, of a particular study (39). These can offer additional contextual detail but, importantly in this context, may 325 provide implementation or process data (40). 326

At present, the CQIMG suggests that review teams either use methods 2 and 3 in conjunction with 4, most likely in a Cochrane setting, or use method 1 in conjunction with 4 for a wider health technology assessment type 'multi-review' (35). Guidance on searching for trials can be found in the Cochrane Handbook (37) and paper 2 in this series outlines principles for searching for qualitative studies (5).

332 Step 3 - Data Extraction

333 To extract relevant information on implementation from primary studies it is crucial to have

a detailed understanding of the intervention because implementation measures (e.g.,

335 fidelity, dose) and the barriers and facilitators experienced during implementation can

pertain to different aspects of complex interventions (10, 17). We therefore recommend 336 use of the 10-dimension Complexity Assessment Tool for Systematic Reviews (iCAT-SR) to 337 338 assist with classifying and grouping interventions (41). For quantitative intervention 339 reviews, this can inform sub-group or sensitivity analyses, and aid in developing logic models and identifying causal pathways that explicitly feature implementation (Lewin, 340 341 forthcoming). For qualitative evidence syntheses, the ICAT-SR may facilitate comparisons of staff experiences with implementation or the construction of implementation chains for 342 different types of programs, enhancing the theoretical and interpretive validity of the 343 344 review.

345 A review of 27 systematic reviews of interventions uncovered several issues impacting the extraction of information on implementation from primary studies (42). Process evaluation 346 terms are not always defined and reviewers may find aspects of implementation described 347 (i.e., 'the evaluation assessed whether the intervention was implemented as intended') but 348 349 not linked to a specific definition (i.e., fidelity). Terms or definitions are not located in the 350 methods section which is where review authors might expect to find them; sometimes they appear in the discussion section. Aspects of implementation are defined in ways that 351 352 deviate from commonly accepted definitions. For example, studies can define intervention 'quality' as the intervention being delivered as intended, which is the definition commonly 353 used for fidelity (43). Like the intervention, information on program operations 354 ('implementation') is often descriptive (i.e, textual) and not empirical and can appear in the 355 356 background and methods section of a primary outcome evaluation paper, or in a non-357 empirical 'sibling' study. Additionally, authors often provide reflections on implementation 358 in the discussion section. To counteract some of these limitations, following the techniques 359 used in Intervention Component Analysis (44) we recommend that descriptive information and author reflections on the experience of implementing the intervention are used from 360 trial and 'sibling' reports and further, that corresponding authors be contacted for specific 361 362 information on implementation. Such information strengthens the descriptive validity of qualitative and quantitative reviews. We also recommend that review authors develop a 363 glossary of terms and definitions supported by existing resources such as the Oxford 364 365 Implementation Index (45), Checklist for Implementation (42) and the MRC Guidance on process evaluation of complex intervention (10) to reduce the likelihood of conceptual 366

- 367 slippage and inconsistent interpretation of measures of events between studies. For
- 368 systematic reviews, this can guide the consistent extraction of information across studies.
- 369 For a qualitative evidence synthesis, a common set of understandings of key
- 370 implementation terms and processes can facilitate comparisons of experiences between
- 371 studies which, again, can enhance theoretical and interpretive validity.

#### 372 Step 4 – Assessing Rigour and Risk of Bias in the process evaluation or intervention

- 373 implementation evidence
- 374 Review authors should determine if the absence of a favourable intervention effect within
- 375 primary studies and at the review level is due to problems with implementation (i.e.,
- implementation failure) or a poorly conceptualised intervention (i.e., theory failure). Few
- 377 assessment tools for primary studies or reviews explicitly address the rigour or risk of bias in
- process evaluation or implementation evidence. Table 1 in Noyes et al (this series (5))
- 379 reports comparable terms (such as risk of bias and rigour) to describe similar domains across
- 380 quantitative and qualitative research. Building on previous recommendations(46), we
- 381 provide recommendations for assessing the rigour/risk of bias of process and
- 382 implementation in primary studies and reviews.
- 383

The literature was systematically searched to retrieve tools to critically appraise process and 384 implementation. This entailed keyword searches of PubMed MEDLINE, the ISI Web of 385 Science, the worldwide web, Google Scholar, the webpages of systematic review centres/ 386 387 collaborations and pearling the reference lists of relevant documents. This search was initially conducted in 2009(47) and updated periodically through CQIMG-affiliated work. 388 389 One assessment tool specific to process evaluation was located. This 8-item tool developed by the EPPI-Centre is flexible and can be applied to qualitative, quantitative and mixed-390 method primary studies (48, 49). Six questions tap rigour related to sampling, data 391 collection, data analysis, interpretation, breadth/scope of findings, and whether the study 392 393 privileges the perspective of the target group. The last two items assess the reliability and 394 usefulness of the findings. The question on usefulness ('how well the intervention processes were described and whether or not the process data could illuminate why or how the 395 396 interventions worked or did not work') offers insight into process mechanisms. Ideally 397 process evaluation should gather both qualitative and quantitative information. Qualitative

data is particularly important to understand how features of context influence
implementation and issues related to acceptability, meaningfulness and generalisability of
the intervention. As outlined below, we recommend this 8-item tool supplement existing
critical appraisal tools for primary qualitative and quantitative studies. Given that existing
critical appraisal tools for systematic reviews do not address process evaluation and
following recent guidance on the process evaluation of complex interventions(10) we
recommend that questions be developed to supplement these tools.

405

For qualitative primary studies we recommend the 8-item process evaluation tool (49) be 406 407 used in conjunction with a qualitative critical appraisal tool such as the Evaluation Tool for 408 Qualitative Studies (ETQS)(50). The ETQS was the only tool of three qualitative tools 409 reviewed to cover all forms of validity (i.e., descriptive, theoretical, evaluative, interpretive, 410 generalisability)(51) and it additionally enquires into study context, specifically setting 411 factors and the sampling of events, persons, times and settings both of which are important 412 to understanding implementation. While the process evaluation specific tool captures rigour relevant to implementation, the ETQS captures rigour relevant to qualitative validity 413 414 (credibility and transferability). These tools should be used in addition to tools to assess methodological strengths and limitations that feed into CERQual assessments of confidence 415 416 in synthesised qualitative findings (52).

417 Assessment tools for quantitative primary studies do not address dimensions of process evaluation other than contamination, co-intervention, and participation. The Effective Public 418 419 Health Practice Project Quality Assessment Tool (EPHPP) (53) is the only tool that asks a 420 question on fidelity, operationalised as consistency of implementation. Overall integrity is 421 judged by responses to three questions on fidelity, contamination/ co-intervention and percentage of participants receiving the allocated intervention. The Cochrane Risk of Bias 422 Tool (CRBT) was introduced to establish consistency and avoid discrepancies in the 423 424 assessment of methodological strengths and limitations. Considering that Cochrane reviewers are required to use the CRBT we recommend its use be supplemented with the 8-425 426 item process evaluation assessment tool (49). This tool is flexible and allows Cochrane 427 reviewers to make an assessment of the methodological strengths and limitations of an

428 embedded or sibling process evaluation study that includes one or more of the dimensions429 in Table 1 using quantitative, qualitative or mixed methods

## 430 Step 5 – Analysis, Synthesis and Interpreting the Evidence with an Implementation Lens

431 Papers 2(5) and 4(6) in the series provide an overview of evidence-appropriate methods for

432 synthesis of evidence on implementation, and paper 4 outlines methods for integrating

433 qualitative and process evaluation evidence with evidence of intervention effect.

- 434 At the final stage, evidence from the qualitative and quantitative reviews need to be
- 435 brought together to inform a judgement about 'implementation success or failure' and
- 436 'theory success or failure' (either partial or complete) at the integrated review level. At
- 437 present no Cochrane reviews of interventions formally do this, however, information, in
- 438 some reviews allows for less formal retrospective or ad-hoc judgements of theory failure
- 439 and implementation failure (Box 3).

Box 3: Ruling out implementation failure and theory failure

Petrosino et al (54) reviewed the effects of programs comprised of organised visits to prisons by juvenile delinquents or pre-delinquents to deter them from delinquency ('Scared Straight'). The meta-analysis found the organised prison visits to be more harmful than doing nothing. Problems with implementation were considered as a potential source of bias. All included studies were considered low risk of bias as no investigator reported problems with implementation. Since the programs were implemented with fidelity, the harmful effect suggests fault in the program's logic that exposing at-risk juveniles to prison life would deter delinquency. The authors posit peer contagion theory as a potential explanation for the observed effect; the potential intervention benefit was offset by deviant youth interacting with each other in a group setting. This alternate causal pathway could be explored in a qualitative evidence synthesis.

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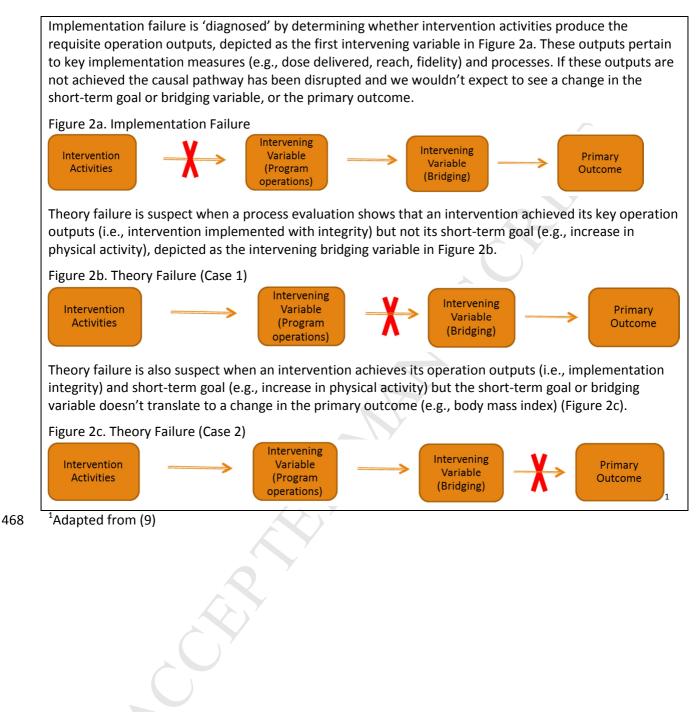
441 We argue that reviews need to be designed at the problem description stage to address this,

- specifically by generating a program theory or logic model that depicts implementation
- 443 outputs or measures captured quantitatively, or core processes captured qualitatively. The

basic logic for informing such judgements is outlined in Figure 2a-c. Implementation failure 444 and theory failure do not operate in isolation. To determine whether theory failure is 445 446 suspect in interpreting the overall intervention effect of a primary study, it is necessary to 447 first rule out implementation failure. If a review does not systematically extract qualitative and/or quantitative evidence on implementation and finds that the primary outcome did 448 449 not favour the treatment condition, reviewers do not have a basis for determining, at the 450 interpretation stage, whether the intervention design was deficient (theory failure) or whether the outcome was marred due to implementation problems (implementation 451 failure). This compromises the overall internal and external validity of the review. The 452 453 example in Box 3 additionally highlights the need to assess implementation in order to be 454 able to make a judgement about underlying program theory.

The activities in Table 2 increase the chance that reviews are guided by plausible and 455 testable program theory. The MRC Process Evaluation Framework(10) and the framework 456 457 outlined in Figure 1 provides reviewers with the conceptual building blocks to develop program theory. For any given review, program theory visually depicted in a logic model 458 459 acts as a 'coat rack' of sorts to hang the most appropriate measures and methods to capture the uniqueness of intervention contexts in primary studies. Hence, context becomes 460 'reproducible' by virtue of the conceptual frameworks, methods, measures and tools used 461 462 to construct the logic that guide reviews. The synthesis methods described in papers 2(5) and 4(6) in the series provide insight into differential intervention effects, context by 463 implementation interactions and inform judgements about partial or complete breakdowns 464 465 in implementation. Methodological work is required to inform review level judgements of 466 implementation and theory failure, whether partial or complete.

#### 467 Figure 2a-c<sup>1</sup>. Depictions of implementation and theory failure



#### Conclusions

Assessing implementation in Cochrane systematic reviews of interventions is challenging for a number of reasons, including, but not limited to, poor reporting of intervention and implementation in primary studies, knowing the starting point to address implementation on a given topic, and pressures to accommodate knowledge translation concerns of research consumers despite reporting and review resource limitations. Depending on the review objectives, synthesis of evidence on implementation can add interpretive value to Cochrane reviews and the decision-makers who use them. This paper provides guidance for reviewers to navigate the heterogeneity and uncertainty that they are confronted with at different stages of the review process.

Table 1: Definitions of key dimensions of implementation with corresponding examples of quantitative indicators and qualitative questions.

Dimension	Quantitative	Qualitative
<b>Dose Delivered</b> : Amount of a program delivered to participants (i.e., frequency, duration, intensity) by staff and/or implementing agency.	<ul> <li>Total # contact hours</li> <li># water fountains installed</li> </ul>	<ul> <li>How did participants feel about the format and time commitment of the program?</li> </ul>
<b>Dose Received</b> : Characteristic of the target population's utilisation or interaction with program strategies or resources ('active participation').	<ul> <li>Dosage of medicine ingested</li> <li># people drinking water from fountain</li> </ul>	<ul> <li>What factors influenced whether clients read the take home educational materials?</li> </ul>
<b>Reach</b> : Degree to which target group participates by their presence.	• # of patients served by eligible clinics	What motivated clients to attend the clinic?
<b>Recruitment</b> : Specific information on procedures used to recruit or attract participants to the intervention.	% of clients     recruited by type of     recruitment strategy	<ul> <li>How did participants feel about the methods used to recruit them?</li> </ul>
<b>Fidelity</b> : Reflects implementation integrity, adherence, extent to which a program is implemented as intended.	<ul> <li>% of activities critical to behaviour change completed</li> </ul>	<ul> <li>What factors enabled clinical staff to adhere to practice guidelines?</li> </ul>
<b>Adaptation</b> : Whether aspects of a program were intentionally changed during delivery to enhance outcomes.	<ul> <li>% of activities that changed during intervention period</li> </ul>	What factors influenced     staff adaptation of     intervention activities?
<b>Co-intervention</b> : When interventions other than the treatment are applied differently to intervention conditions.	% of control group participants getting other treatments	<ul> <li>Why did participants engage in other activities related to the outcome?</li> </ul>
<b>Contamination</b> : Unintentional delivery of intervention to the control group or inadvertent failure to deliver intervention to experimental group.	<ul> <li>% of control group participants exposed to the treatment</li> </ul>	<ul> <li>How did the control group come to receive the treatment?</li> </ul>
<b>Participant Engagement</b> : Participant's interaction with or receptivity to a program i.e., what they think or how they feel about the intervention	<ul> <li>On a scale of 1 to 5, rate the extent to which the program met your needs</li> </ul>	<ul> <li>Was the program culturally appropriate and acceptable to clients?</li> </ul>
Implementer Engagement: Subjective	• On a scale of 1 to 5,	How would you

delivery i.e., what they think/ feel about the intervention and their interpersonal style.enthusiasm to use the practice guidelinesmotivations and interests to implement the practice guidelines?Intervention Quality:Quality of intervention materials/ resources (e.g., curriculum, training, policy).On a scale of $1-5$ rate the quality of the trainingPlease comment on the training materials and facilitation of the trainingContext:Social, built and political factors internal (e.g., partnerships) and external to the intervention environment (e.g., social norms) that• On a scale of $1-5$ , to what extent did community agencies support the• In what ways did community agencies support the		EPTED MANUSCRIE	ОТ
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	and external to the intervention	community agencies	support the health service
shape implementation. intervention? intervention?	environment (e.g., social norms) that	support the	to deliver the
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