COMMENTARY

Routine Outcome Monitoring: Coming of Age—With the Usual Developmental Challenges

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The articles in this series present a variety of systems that involve routine outcome monitoring and the provision of feedback to therapists and/or patients with the goal of improving the quality of mental health care. Sufficient evidence exists for the adopting 1 of these systems (or 1 that was not discussed in this series); nevertheless, a number of challenges exist. Issues related to identifying the efficacious components, implementation, utilization, scientific inquiry, and the next generation are discussed.

Keywords: routine outcome monitoring, patient progress, feedback, practice-based evidence

“Where should I go?”
—Alice.

“That depends on where you want to end up.”
—The Cheshire Cat.

The monitoring of patient progress, often called routine outcome monitoring (ROM) among other terms (e.g., practice-based evidence), evidently has come of age. There now exist multiple measures as well as systems for using and interpreting the outcome measures completed by patients over the course of therapy. The articles in this series present the case for the utility of many of these, including the OQ-System (Lambert, 2015), PCOMS (Duncan & Reese, 2015), TOP (Boswell, Kraus, Castonguay, & Youn, 2015), CORE System (Barkham, Mellor-Clark, & Stiles, 2015), CCAPS (Youn et al., 2015), BHM (Kopta, Owen, & Budge, 2015), and ACORN (Brown, Simon, Cameron, & Minami, 2015). There are others, as well (e.g., the STIC, appropriate for systemic assessments; Pinsof et al., 2009). Some of these systems have found their way to SAMHSA’s National Registry of Evidence-based Programs and Practices (viz., the OQ and the PCOMS) and others have been adopted by various systems of care including insurance companies, the U.S. military, state agencies, colleges and universities, and even entire countries. Coming of age, here used as a metaphor for the acceptance as a fully engaged participant in the mental health delivery system, brings with it challenges related to identity, legitimacy, life trajectory, generational changes in culture, potential progeny, as well as host of others. Miller, Hubble, Chow, and Seidel (2015), in their contribution to this series, discuss several of the challenges as ROM comes of age. In this article, I mention what I think are some others, with an emphasis on what ROM has to offer, currently and in the future, as well as some cautions. Entering society comes with risks of many types but most come of age without much introspection, which I hope to encourage. In my view, the use of ROM is the most noteworthy advance in psychotherapy in the last 25 years, yet the potential of this method will be realized only if several important challenges are met.

Coming of Age Challenges

What is Coming of Age, Anyway?

I have used the acronym ROM generically, but what exactly is it we are discussing here? It seems to be well established that collecting information about patient progress and providing feedback to therapists improves outcomes (Lambert & Shimokawa, 2011; Shimokawa, Lambert, & Smart, 2010). Yet, each of the systems is composed of various elements, including a scale that is administered to patients on a regular basis (typically every session) and presentation of the information collected to the therapist, the patient, or both the patient and the therapist. The information provided to the recipient has various components, which may include simply the scores on the scale or various subscales (see below), a graphical presentation of the scores over time (illustrated in several of the articles in this series), comparison of trajectory with normative data for patient progress (usually presented graphically as well), various “signals” that indicate whether the patient is making adequate progress or not or whether the patient is in the severe range, computer generated messages, as well as ancillary scales that might provide...

1 The measures and associated systems typically are so well known that their abbreviations are initialisms if not acronyms and thus I use the abbreviations initially. Also note that reference to the measure and reference to systems using the measure often use the same abbreviation, creating confusion if care is not taken.
information about why the patient is or is not making normal progress (e.g., scales measuring alliance, readiness for change, and social support). When it is said generically, “feedback improves outcomes,” what is meant by feedback may often be ambiguous, and this is not a trivial issue, as I shall argue.

Evidence, Science, and the Black Box

The evidence for two of the systems (viz., the OQ-system and PCOMS) appears to be strong, particularly for preventing deterioration of cases at risk for failure (Lambert & Shimokawa, 2011; Shimokawa et al., 2010). However, before accepting the efficacy of “feedback” as a means to improve the quality of care, some issues need to be considered. First, as Miller et al. (2015) stated, the effect sizes for feedback versus treatment as usual are modest and there is a danger that they are overestimates of what might be expected in the future, given how most effects decline over years and in psychology in particular (Yong, 2012), expected in the future, given how most effects decline over years and there is a danger that they are overestimates of what might be expected in the future, given how most effects decline over years and in psychology in particular (Yong, 2012), including the effect of CBT as a treatment for depression (Johnsen & Friborg, 2015), may not represent “truth” (Ioannidis, 2014), and may not be applicable in practice settings. Of course, such concerns are not unique to ROM, but nevertheless there is some cause for concern. Most of the research cited in meta-analyses has been conducted by advocates of a particular system, which reduces some of the implementation problems discussed below. Well-conducted large trials have not produced effects (de Jong, van Sluis, Nugter, Heiser, & Spinnewijnen, 2012; see also Rise, Eriksen, Grimstad, & Steinsbekk, 2015) and several recent failed trials, with which I am familiar, have not been published. With some notable exceptions (e.g., Anker, Duncan, & Sparks, 2009), the instrument used to assess outcomes was the same instrument used for ROM. That is, therapists are given particular information about the patient, which is then discussed or used in subsequent sessions; it might well be that the focus on the particular instrument increases the likelihood of change on that instrument but not on another measures of outcome (symptom measures, quality of life, well-being, interpersonal functioning). Moreover, having clients complete the same measure each session more than likely creates some testing effects. The effects of feedback would be more robust if the success of therapy was measured by an instrument not used for ROM. By themselves, these issues may not be surprising for an emerging technology, but only serve as cautionary notes, to consider vis-à-vis the very promising results that have been reported.

However, in terms of sustaining ROM as a viable method to improve the quality of mental health services, several scientific questions need to be resolved. As discussed above, there are many components of ROM and, for the most part, the efficacious ingredients of the package have not been identified (sound familiar?). In some studies, it appears that a warning signal (e.g., the patient is off track!) is critical (Probst et al., 2013) where in other studies it is not (Amble, Gude, Ulvenes, Stubdal, & Wampold, 2015). It is also unclear whether integrating the information about patient progress in therapy (e.g., by discussing it with the patient) is important (see Amble et al., 2015). Discussing patient progress with the patient each session is endemic to PCOMS (Duncan & Reese, 2015), a system that has produced encouraging results. Therapists report that the graph and discussion with the patient are the most important aspects of ROM (Amble et al., 2015). As well, it seems that the effects of feedback are limited to therapists who are enthusiastic about ROM and use the system (de Jong et al., 2012; Lutz et al., 2015). And here is something incredible: After all the years that we have studied ROM, we do not know how therapists use ROM to improve the quality of service—and maybe even more incredible, we have not investigated this important question. What about ROM creates effects? The authors in this series provided excellent examples of how ideally to use their systems and now research is needed to identify the important ingredients. Although many RCTs of ROM have been conducted, there has been a lack of attention to a theory of how it works. For the most part the pursuit of improvement has been pragmatic—if it works, great! Pragmatism has a prominent place in progress but it is my view that “there is nothing as practical as a good theory” (Van de Ven, 1989; see also Miller, 1994; Popper, 1963). There is an immense literature about the relationship between feedback vis-à-vis learning and performance; Len Bickman has used this literature to understand how feedback to therapist might be optimally structured (e.g., Sapyta, Riemer, & Bickman, 2005), but reference to this literature or its application was not emphasized in the articles in this series, although this was not the focus of the articles. I will return to this issue when I discuss expertise below.

Implementation

Anyone who has been involved with the implementation of ROM in practice settings, either in the context of a randomized clinical trial or as part of standard practice, knows that implementation is difficult. Indeed, developers of ROM have discussed the challenges involved (Boswell, Kraus, Miller, & Lambert, 2015) and this issue was discussed in several of the articles in this series (see Barkham et al., 2015; Boswell et al., 2015; Brown et al., 2015). However, the challenges are formidable and should not be minimized (see Wolpert, 2014 as well). Similar to the situation with ROM, there is a science (theory and empirical results) relative to implementation, which was discussed in some detail by Miller et al. (2015) in this issue. The challenges to implementation will not be rehashed here, but some related issues that need attention will be mentioned (and hopefully are not a rehash).

Managers of care need to consider the financial cost of ROM, which include costs of system, but also opportunity costs associated with training and time to use the system, technology infrastructure, and so forth. Some of the systems belong to for profit companies and some belong to nonprofits. Personally, I am agnostic in this regard as the profit motive can create innovation and progress, although profit motives can create conflicts of interest. Implementation of ROM raises other challenges for managers of care. With good intentions and based on empirical evidence, a manager implements ROM in a system of care, using the principles of implementation science. There is a modest increase in effect sizes, as expected from the literature. However, there is a nagging fact that depresses the manager’s ebullient mood—some therapists consistently are not achieving expected outcomes, a fact that is predicted by what is known about therapist effects in naturalistic settings (Baldwin & Imel, 2013)—indeed, it is clear that the bottom 5% to 10% of therapists are a consistent drag on effects of a system of care (Saxon & Barkham, 2012; Wampold & Brown, 2005). Moreover, it appears that in general use of ROM is not

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2 Kopta et al. (2015) did discuss the relevance of phase theory for ROM.
improving the outcome of therapists over time (see next section). What should the manager do if despite efforts some therapists continue to underperform? Imel, Sheng, Baldwin, and Atkins (2015) have shown in a simulation that removing the bottom 5% of therapists periodically and replacing them at random has a remarkable effect on overall performance. However, economists have demonstrated that various strategies of using performance data for employment decision, including various pay for performance incentives, can have perverse effects, so I am not making a recommendation in this regard. However, once ROM is employed, systems of care are presented with some dilemmas (e.g., what do with chronically underperforming therapists) given their responsibilities to patients and payers. Boswell et al. (2015) suggested that patients be assigned to therapists based on therapist’s expertise in particular areas.

Development of Expertise

Tracey, Wampold, Lichtenberg, and Goodyear (2014) argued that it is difficult to develop expertise in psychotherapy. That is to say, under normal conditions therapists do not improve over time. How might ROM help therapists develop expertise. Mere exposure to ROM (i.e., being a therapist in an agency that uses ROM) does not seem to lead to improvement—and, it appears that therapists actually get poorer outcomes over time in such an agency, although the decrease was very small (Goldberg et al., 2015). This phenomenon is not unexpected, given the conditions that are needed to develop expertise (see Tracey, Wampold, Lichtenberg, & Goodyear, 2014). Miller et al. (2015) discussed how ROM, as a component of deliberate practice, can lead to continued improvement.

Having to Choose One

Suppose that you are a manager of clinic or a system of care and have decided that ROM should be used, notwithstanding the issues discussed. Which of the measures/systems would you select? They all come highly recommended and seem to have more than adequate incentives, including various pay for performance incentives, can have perverse effects, so I am not making a recommendation in this regard. However, once ROM is employed, systems of care are presented with some dilemmas (e.g., what do with chronically underperforming therapists) given their responsibilities to patients and payers. Boswell et al. (2015) suggested that patients be assigned to therapists based on therapist’s expertise in particular areas.

Education, Training, and Supervision

Several of the articles in this series mention the role ROM can play in education, training, and supervision. Psychology has placed emphasis on competencies (Kaslow, 2004; Kaslow et al., 2004), but from my perspective I would much rather know that graduates of professional training program demonstrated that they consistently help patients, which of course is demonstrable when ROM are adopted in such programs. However, the utility of ROM extends beyond documentation of effectiveness. If ROM is used in conjunction with an assessment of skills in various areas, then training can be targeted toward particular areas that need growth (e.g., empathic responding or delivery of a coherent and cogent treatment protocol). In a survey of trainees, it was found that about 50% of respondents had used ROM with at least one client, although over 30% were not aware that ROM exists (Overington, Fitzpatrick, Hunsley, & Drapeau, 2015)! However, of those who used ROM in training, most found that it was useful and were twice as likely to state that they would use ROM in postgraduate practice than was the case for nonusers. From my own experience, it is clear that a major impediment to using ROM in university training clinics is the cost and I recommend that the owners of the various systems provide them at no or low-cost to training programs.

Research

One of the most exciting positive impacts of the coming of age of ROM from my perspective is that it has spawned a plethora of research on routine mental health service. Assessing outcome as well as various process measures at every session allows for sophisticated longitudinal analyses (see, e.g., Falkenström, Granström, & Holmqvist, 2013, 2014), and benchmarking (Barkham et al., 2015; Minami et al., 2008). There will be much learned from practice-based networks in the coming years. From my perspective, albeit with a small dose of bias, we are learning much more about psychotherapy from naturalistic data sets with frequent measurements than we have learned from randomized clinical trials comparing different forms of therapy (Laska, Gurman, & Wampold, 2014).4

Spawning the Next Generation

Yes, ROM has come of age, and with it exciting times. But inklings of the next generation are becoming apparent already. The use of paper and pencil instruments at the beginning or end of each session will seem like propeller driven airliners when smart phones can assess mental states, such as depression, from the data that

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3 Relative costs, discussed above, are a factor, of course.
4 It is interesting to note that RCTs are now including frequent measurement and performing longitudinal analyses as well, although RCTs are typically relatively small and unpowered, particularly when therapists are considered.
exists on patient’s phone without deliberate user input, using data such circadian movement, normalized entropy location variability, and call duration and frequency (see e.g., Saeb et al., 2015). Ratings of therapy process by humans (either observers or participants) will be replaced by learning machines that detect process measures, such as empathy, without involving human respondents (participants or observers; see, e.g., Imel et al., 2014; Imel, Steyvers, & Atkins, 2015; Lord, Sheng, Imel, Baer, & Atkins, 2015). Our basic methods, which involved paper and pencil instruments, completed by the patient (albeit without the paper and pencil, but essentially the same) and the use of coders, have remained essentially unchanged for three-quarters of a century and have greatly limited our research efforts. Moreover, these data have the potential to improve the quality of mental health care. For example, the clinician will have access the mental health status of patients in real time, rather than status only prior to the session reported retrospectively. Moreover, advances in our knowledge of psychotherapy process will inform the therapist more accurately about what is and is not working in therapy.

Conclusions

Although ROM is now coming of age, Paul W. Clement assessed the progress of every one of his patients since he began practice as a licensed psychologist in July 1966 (Clement, 1994). It was his opinion that failure to answer empirically the question “Are you any good?” (p. 173) was irresponsible and unethical. Yes, there is resistance to ROM by therapists, implementation is difficult, challenges to using the data to improve the quality of care are present, and a number of issues remain. But the pervasiveness of ROM attests to its robustness—at the very least we can answer Clement’s question, “Are we any good?” However, the potential to improve the quality of mental health services, as well as be accountable for the services we provide, is the exciting (and necessary) aspect of this movement.

The purpose of this comment was to present the challenges that exist so that ROM can reach its potential. I look forward to watching ROM mature.

References


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