

The Role of Leadership in Changing and Ambiguous Times

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Agenda

- Introduction: Why Change?
- Fundamental Issue: Complexity of the organizational change process
- Disseminating Innovations in Health Care
- Understanding the Organization's Readiness for Change
- Leadership strategies that support transformational change: One developmental model
- Practical Tips for Practical Leaders

Introduction

- Why change?
 - Changing populations with changing clinical needs
 - Newer treatments promise better efficacy/effectiveness: *evidence-based practices*
 - To insure quality (safety, effectiveness, appropriateness, accessibility, efficiency, consumer centered and timeliness)
 - Ineffective treatments are costly in both fiscal and human terms
 - Professional and public policy ethics
 - Changing contingencies: funding and licensing/accrediting expectations

Fundamental Issue: Complexity of the organizational change process

**Paul Plsek, Complexity and the Adoption of Innovation in Health Care,
National Committee for Quality Health Care Washington D.C. 2003.**

Fundamental Issues: Complexity of the organizational change process (Paul Plsek)

- Simple vs. Complicated vs. Complex
 - Simple = baking a cake = recipe approach
 - Complicated = sending a rocket to the moon = formulaic (breaking problem down into component parts)
 - Complex = raising a child = past experience, general principles and expert advice serve only as starting points

Paul Plsek, *Complexity and the Adoption of Innovation in Health Care*,
National Committee for Quality Health Care Washington D.C. 2003

Fundamental Issues: Complexity of the organizational change process (Paul Plsek)

- Simple: Recipe approach, few and simple steps, minimal skill level.
- Complicated: Formula focused, many steps and components, emphasis on proven methodologies, various levels of skills based on the component of the process, outcome is predictable. Avoid deviation from the prescribed methods at all cost
- Complex: Flexible and adaptive response to changing situation; range of options and strategies to match the often changing context, no single “proven” methodology will suffice, innovation and experimentation mindset, guided by “core principles” applicable across person, time and situation

Working positively with complexity (Paul Plsek)

- Some properties of complex systems
 - Relationships are central (innovation adoption based on social contacts)
 - Structures, processes and patterns (interpersonal/social climate) are all inter-related and must all be addressed
 - Constant adaptation vs maintenance of equilibrium
 - Experimentation and pruning (keep, drop, change)
 - Inherent nonlinearity – small changes can have large effects while seemingly large changes might have little effect
 - Systems are embedded within other systems and co-evolve

Working positively with complexity (Paul Plsek)

- Recommendations
 - Eschew mechanistic and coercive approaches
 - *Participatory decision making*
 - Establish a habit for change in the organization – move away from change being a special effort or separate project.
 - Establish research and development functions pervasively, including within the organization
(Continuous Quality Improvement Process)
 - Use of information and data to guide decision making
 - Systematic and rapid experimentation
 - Awareness of contemporary and knowledge based approaches

Working positively with complexity (Recommendations)

- Understand that social networking is essential to the goal of spread of innovation – leadership should identify and support natural social networks and opinion leaders within them.
 - Consider creating opportunities to expand the social network among stakeholders (e.g., Learning collaboratives)
- Develop better language and tools to support receptivity for change – include goals for organizational development in strategic plans
 - The purpose is to generate clear and practical recommendations to leadership on how to create receptivity for change

Implications of a *complexity* perspective on the adoption of clinical innovations

- **Providing mental health services is a complex process. (Caution not to treat EBP's as a Complicated Process.)**
- **Since there is considerable autonomy and privacy in the delivery of mental health services, close and ongoing monitoring to “coerce” compliance is unlikely to sustain quality practices. Focus on how innovation increases success and satisfaction for all stakeholders.**
- **Clinical judgment, cultural adaptations, modifications/adjustments take place over time and across situations based on the specific strengths and needs of each individual**
- **Manualized treatment, toolkits, and an overly prescriptive emphasis on model fidelity may suggest that EBP's are multi-component step by step complicated processes rather than complex processes. Important to identify critical underlying principles.**

Disseminating Innovations in Healthcare

Berwick, D.M. (2003) Disseminating Innovations in Healthcare. JAMA, 289, 1969-1975

Disseminating Innovations in Healthcare

What influences the adoption and spread of innovations?

- The perceptions of the innovation
- Characteristics of individuals who may adopt the change
- Contextual and managerial factors within the organization

Berwick, D.M. (2003) Disseminating Innovations in Healthcare. JAMA, 289, 1969-1975

Disseminating Innovations in Healthcare

- Recommendations to promote the adoption of innovations in mental health programs
 - Find sound innovations
 - Find and support innovators
 - Invest in early adopters
 - Make early adopter activities observable
 - Trust and enable re-invention
 - Create *slack* for change
 - Lead by example

**Berwick, D.M. (2003) Disseminating
Innovations in Healthcare. JAMA, 289,
1969-1975**

Salerno & Margolies

Understanding the Organization's Readiness for Change

Understanding the Organization's Readiness for Change

- This approach to understanding the *organization* is based upon the Readiness Assessment process developed (for the assessment of individual consumers) by William Anthony and colleagues at Boston University. Areas that are found to be low in readiness can become the target of specific systems interventions directed by the organization's leadership.

Understanding the Organization's Readiness for Change

- Understanding and developing readiness for change
 - Felt need
 - Commitment
 - Organizational self awareness
 - Organizational environmental awareness

Adapted from the work of William Anthony and Associates:
Boston University, Center for Psychiatric Rehabilitation

Felt need

- Internal: degree of dissatisfaction among stakeholders with current practices and outcomes
- External: change in fiscal, regulatory, accrediting requirements or competition for market share

Commitment

- **Positive expectations:** degree to which stakeholders perceive the change as positive
- **Organizational efficacy**
 - Stakeholders believe that change is possible,
 - Organization has the capacity and capability to adopt a particular change.
 - The organization has experience making planful quality improvement changes in the past.

Commitment (Continued)

- Organizational support: degree to which stakeholders believe that the leadership of the organization, colleagues and consumers will support the change.

Organizational Self Awareness

- The degree to which an organization is aware of its values, mission and aims
- The degree to which an organization is aware of its current practices and outcomes (i.e., quality of its services)
- The degree to which an organization has a system in place to identify the high priority needs and goals of its stakeholders

Organizational Environmental Awareness

- The degree to which an organization is aware of contemporary practices and knowledge-based approaches to address particular mental health problems and needs of consumers
- The degree to which the organization uses information and data to make improvements. Does the organization have a way of knowing how it accomplishes its aims?
- The degree to which the organization explores practices and innovations in other similar settings and programs

The Agency Change Process: Woodward's Developmental Model

Woodward, H., Buchholz, S., and Hess, K. (1987). *Aftershock: Helping People Through Corporate Change* NY: John Wiley and Sons.

Woodward, H. and Woodward, M.B. (1994). *Navigating Through Change*. NY: McGraw Hill.

Woodward's Three Kinds of Change

- Evolutionary Change
- Strategic Change
- Shock Change

Evolutionary Change

- Change that is gradual and incremental. Change for which you can plan and prepare.

Strategic Change

- A change in which you feel a sense of control; a sense that you are driving it, or at the very least, keeping pace with it.

Shock Change

- Unexpected, often unwelcome, change that catches you off guard. Shock change either sets you back or spurs you on, or both.

Important Point

- It is not unusual for an organization's leadership to believe that it is engaged in promoting *strategic* change and for its workforce to experience the innovation as **shock** change. When this occurs, implementation will be compromised.

The Growth Curve of Organizations

- *Formative phase*
- *Normative phase*
- *Integrative (Transformational) phase*

Formative Phase

- In the formative phase the task of the organization is to invent or discover a viable pattern that works.

Normative Phase

- The normative phase is a period of high productivity and profitability because a successful pattern has been found and is being efficiently replicated.

Integrative (Transformational) Phase

- The integrative (transformational) phase begins a period of uncertainty and the need to plan for new growth and renewal.

What is the purpose of the
Formative phase?

What is the purpose of the
Normative phase?

What is the purpose of the
Integrative phase?

How is creativity viewed in the

- Formative phase?
- Normative phase?
- Integrative phase?

How are mistakes viewed in the

- Formative phase?
- Normative phase?
- Integrative phase?

What characterizes a “good” staff member in the

- Formative phase?
- Normative phase?
- Integrative phase?

What characterizes a “good” supervisor/manager in the

- Formative phase?
- Normative phase?
- Integrative phase?

IMPORTANT POINT

Woodward now believes that in many industries, organizations are in a *permanent* integrative (transformational) phase. If this is true, what would be the implications for leaders, managers and staff?

Want vs. Get

What People in Transition Want and What They Often Get

- Want
 - Empathy
 - Information
 - Ideas
- Get
 - Avoidance
 - Autocratic Behavior
 - Cheerleading

What Can Be Lost As A Result of the Change Process?

- Control
- Status
- Personal Meaning

Organizations that Handle the Integrative/Transformational Phase:

- Have the following qualities-
 - Openness
 - Support
 - Communication
 - Experimentation (“Learning Organization”)

How Can Managers/Supervisors Assist Staff Through the Change Process?

- Acknowledge realities
- Validate the sense of loss
- Assist staff to regain control, status and personal meaning in the new mission/direction

Assisting Staff With The Change Process (Continued)

- View the change as a process which will take time
- To the extent possible, involve staff in the planning and decision making
- Attend to ENDINGS, TRANSITIONS AND BEGINNINGS.

Practical Tips for Practical Leaders

Practical Tips for Practical Leaders

It is important that leaders insure that:

- The engagement process begins with a thorough understanding of the felt need for change among organization stakeholders
 - Consensus building dialogues with all stakeholders
 - Ongoing forums to keep workforce informed
- A sense of urgency is created - readiness for change is developed
 - Clear, unambiguous message concerning vision and direction is communicated
 - Stakeholders' current dissatisfactions are identified
 - Resources are devoted to the change process
 - Priorities are set and communicated clearly
 - Options are identified and discussed openly

Practical Tips for Practical Leaders

- The organization “owns” the change (active vs. passive involvement)
 - Stakeholders are involved in identifying opportunities for change, generating ideas and recommendations (CQI process)
 - Supervisors and managers are held responsible for implementing changes
 - Supervisors work directly with line staff to assist them to rediscover meaning, control and status in their work
- The organization encourages/rewards innovation and creativity
 - Champions, early adopters and innovators are identified and supported

Practical Tips for Practical Leaders

It is important that leaders insure that:

- Each person in the organization understands her/his role in promoting the implementation of improvements in her/his setting
- The organization is committed to continuous learning and competency building
- The organization creates new norms, policies, procedures and expectations that sustain change - this will minimize drift back to old practices

THANK YOU