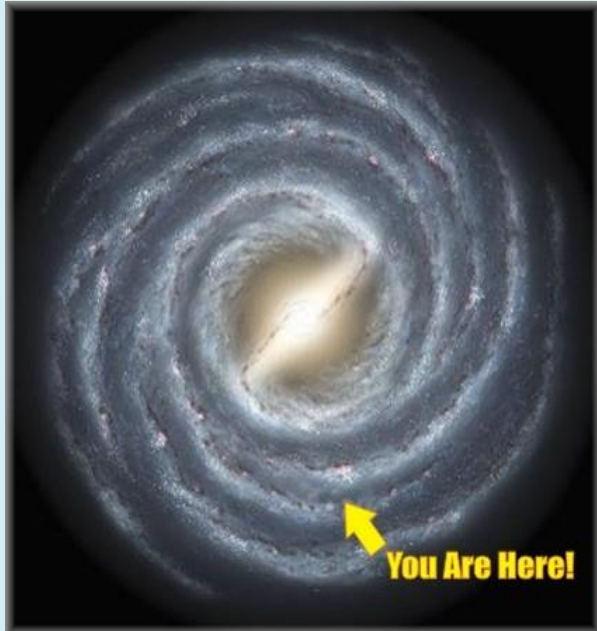


The Elephant in the Room: Culture Change for Community Providers



**Employment for All
Louisiana DD Council
Baton Rouge, LA.
November 9, 2017
Allan I Bergman**

Leadership and Mentoring

“Being a mentor is more than just being a friend. It’s a privilege and a responsibility to be a mentor. It means modeling the behavior, explaining why it’s important and then encouraging a person to carry on and providing positive feedback. It also means that you are behaving in a manner worthy of respect.”

John Holley

Authentic Leadership, Bill George

**“ Authenticity
has become
the gold standard
for leadership.”**

Harvard Business Review, 2015

Authentic Leaders, defined, 2003
“ People of the highest integrity,
committed to building enduring
**organizations...who have a deep
sense of purpose and are true to
their core values who have the
courage** to build their companies to
meet the needs of all their
stakeholders, and who recognize the
importance of their service to
society.”

Bill George

Authentic Leadership: Qualities

- Built on your **character**, not your style; **flexible** to meet situations; coach, mentor, dismissals in difficult situations
- **Real and genuine**; can't fake it; **trustworthy** and willing to learn
- **Constantly growing** from experiences
- Match behaviors to their context; self-monitoring; use EQ to communicate
- Not perfect nor do they try to be; **make mistakes, admit them & learn from them**
- **Sensitive to the needs of others**

Innovation and Risk Taking

- We struggle with the idea of failure
- Limits desire to take risks and to innovate
- **Perspective is everything**
- Edison tried almost a thousand times to build the light bulb before getting it
- “I have not failed 1,000 times. I have successfully discovered 1,000 ways to NOT make a light bulb.”
- **Innovation is about trying new things and promoting positive change.**
- We learn from our mistakes

The Importance of Vision

Vision without action is merely a dream;

action without vision just passes the time;

vision with action can change the world

Joel Arthur Barker

John Kotter, 2012

- What percentage of change management strategies are successful?
- 30%
- 50%
- 70%
- 90%

Culture Change.....

**“ Culture will eat
strategy for
breakfast.”**

Peter Drucker

Why Now? A Convergence of Forces:

- Americans with Disabilities Act and its four Civil Rights goals
- Olmstead Supreme Court Decision
- Rhode Island and Oregon Settlements along with Virginia and North Carolina
- Transition Outcomes for IDEA, 2004
- Rehabilitation Act Amendments of 1992
- Workforce Innovation and Opportunity Act
- CMS Final Rule: Person-Centered Planning, Informed Choice, and “Settings”
- Pay for Performance; Milestone Payments

The Convergence of Forces, 2

- Continuous challenges to the use of sub-minimum wages; a 1938 policy
- Ability One under multiple criticisms
- Increasing incidence of poverty; largest category of individuals living in poverty
- Runaway costs of SSI, SSDI, Medicare and Medicaid
- Work Incentives; ABLE Act
- Evolution of Best Practices
- Focus on Outcomes through National Core Indicators; CQL POMs

New Leadership at Microsoft

“ Our industry does not
respect tradition. It
only respects
innovation.”

Satya Nadella
February 2014

Transformation Defined

“ In an organizational context, a **process of profound and radical change** that orients an organization in a new direction and takes it to an entirely different level of effectiveness. Unlike ‘turnaround’ (which implies incremental progress on the same plane) transformation **implies a basic change of character & little or no resemblance with the past configuration or structure.**”

Adapting to the “New Normal”

- ▶ Metrics and measurement; accountability
- ▶ All costs must produce clear measurable outcomes; cost effectiveness
- ▶ Equity in resource allocation & incentives
- ▶ Pockets of excellence must be scalable
- ▶ Disparities in outcomes must translate statewide
- ▶ Sustainable value that can be quantified
- ▶ Transformational policy across state agencies, infrastructure changes and capacity building are essential

The Role of Appropriate Data

**Every successful
enterprise uses
outcome data and
information to
improve results**

What is Transformation?

- Transformation occurs as a result of a well-orchestrated and well-led change strategy and transition plan.
- The result is **an evolution to the desired state in which there is a deep seated adoption of the changes and the associated values, principles, and/or processes.**
- Transformation leads to **an internalized change in organizational culture**

Transformational Change is.....
“...a **complete alteration of the current operating structure, with massive change to processes, people,** and typically technology. Since resistance is a function of the **level of disruption** the change creates, **transformational change also brings with it significant resistance.**

Examples are shared services solutions that break down organizational silos and drastically alter how the company operates.”

Paula Alsher, April 2013

What is Culture?

“Culture is a **set of basic assumptions** that defines for us what to pay attention to, **what things mean**, how to react emotionally to what is going on, and **what actions to take** in various kinds of situations... **Cultures tell their members who they are, how to behave toward each other, and how to feel good about themselves.**”

Ed Schein, 2016

What is Culture?

- “Culture is the **self-sustaining pattern of behavior** that determines how things are done.
- **Made of instinctive, repetitive habits and emotional responses**, culture can't be copied or easily pinned down.
- Corporate cultures are constantly self-renewing and slowly evolving.
- **What people feel, think, and believe is reflected and shaped by the way they go about their business**

What is Culture? -2

- Forward efforts to change a culture (to replace it with something entirely new and different seldom manage to **get to the heart of what motivates people, what makes them tick.**
- Strongly worded **memos** from on high are deleted within hours. They **do not change people's beliefs or behaviors.**
- People will **go about their days with the habits that are familiar and comfortable."**

What is Culture? - 3

- Neuroscience research suggests that people act their way into believing rather than thinking their way into acting.
- Changes that are tangible, actionable, repeatable, observable, and measurable are a good place to start.
- Select behaviors that are aimed specifically at **improving business performance and can be measured over time.**”

Jon Katzenbach, Carolin Oelschlegel and James Thomas
PWC's Strategy & 2017

Culture Change:

Culture change takes place when:

- The organization **steps out of its comfort zone**
- The organization starts an **all-inclusive process to examine**
 - the values
 - the beliefs, and
 - the actual practices or behaviors that supports them
- The organization ultimately **redefines its beliefs and practices**

Culture of Southwest Airlines

- “...we’ve long been famous for our unique and special Culture. It really comes down to this: Southwest has always asked three basic things of our Employees-
 - Work hard,
 - Treat people with respect,
 - And have a positive attitude
 - (and in all of those things, practice the Golden Rule).

Gary Kelly, Chairman, President & CEO

System Centered

- **Deficit Based**
- **Segregation/Isolation**
- Professional/Provider Control
- Rejecting Community/Loneliness
- **Paper Compliance; health & life safety**
- No Accountability for Outcomes
- Person/Family Devalued

From System Centered

- Focus on Labels
- Emphasize Deficits and Needs
- Standardized Testing and Assessments
\$\$\$
- Professional Judgments
- Written Reports
- See People in the Context of Human Service Systems
- Distance People by Emphasizing Difference

Toward Person Centered

- See **People First**
- Search for **Capacities and Gifts**
- **Spend Time Getting to Know People**
- Depend on People, Families and Direct Service Workers to Build Good Descriptions
- Gather Folklore from People Who Know People Well

Toward Person Centered-2

- **See People in the Context of Their Local Community**
- Bring People Together By Discovering Common Experience

Beth Mount, Ph.D.

CMS Issues Final Rules on HCBS and the Definition of Community: Jan. 16, 2014

- Applies to 1915 (c) HCBS waivers; 1915 (l) SPA for HCBS; and, 1915 (k) Community First Choice SPA
- Extensive criteria for the development of a “person centered plan”
- “Informed choice”
- “Providers of HCBS for the individual, or those who have an interest in or are employed by a provider of HCBS for the individual **must not provide case management or develop the PCP.....**

CMS Final Rules: 1-16-2014, cont.

Non-disability specific settings & an option for a private unit in a residential setting. The setting options are identified & documented in the **person-centered service plan and are based on the individual's needs, preferences & for residential settings, resources available for room and board.**"

“(iv) Optimizes, but **does not regiment individual initiative, autonomy, and independence in making life choices,** including, BNLT, daily activities, physical environment, & with whom to interact.”

CMS Final Rules, 1-16-2014, cont.

...except when the State demonstrates that the only willing and qualified entity to provide case management and/or develop person-centered service plans in a geographic area also provides HCBS.”

- **Home & Community-Based Settings** –
“**must have** all of the following qualities, and such other qualities that the Secretary determines to be appropriate, **based on the needs of the individual as indicated in their person-centered service plan:.....**

CMS Final Rule, 1-16-2014, cont.

“ (i) The **setting is integrated** in and supports **full access** of individuals receiving Medicaid HCBS **to the greater community**, including opportunities **to seek employment and work in competitive integrated settings**, **engage in community life**, control personal resources, and receive services in the community, **to the same degree of access as individuals not receiving Medicaid HCBS.**

“Supports full access to the greater community – opportunities to engage in community life – choice of daily activities and with whom to interact”

How do people engage in community life? What are daily activities? What is an everyday life?

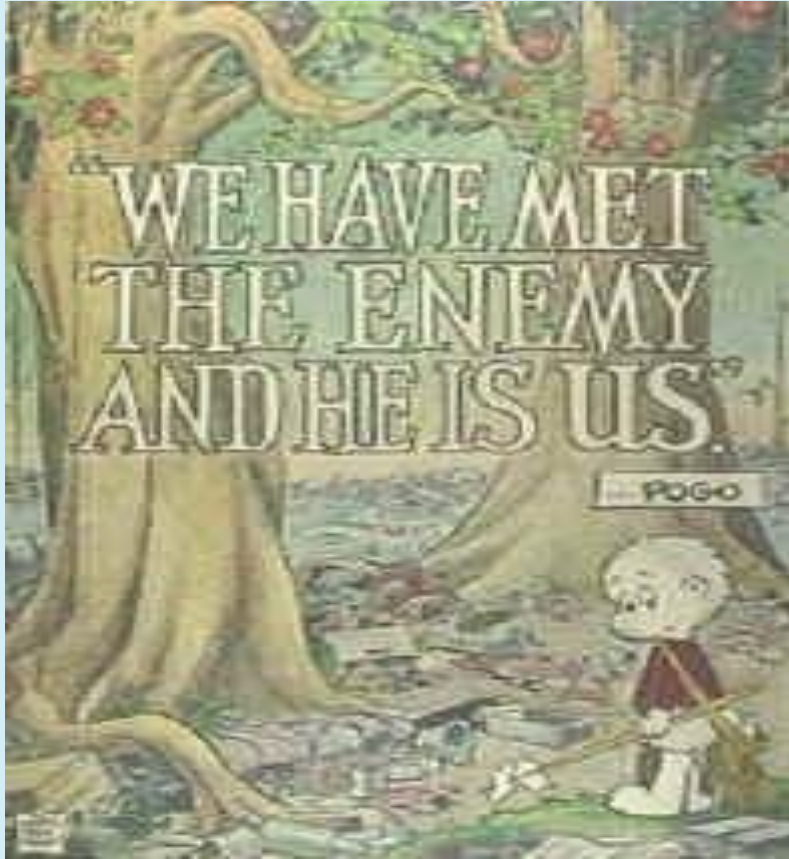
Planned activities in the home community within all of life's activity domains:

- Work
- Volunteering - at soup kitchen, community clean up, or other neighborhood service
- Learning experiences and activities; books on tape; book clubs and art classes; self-help classes;
- **Joining community organizations**
- **Recreation** – swimming, bowling, dancing, movies
- Social Life – getting together with family and friends;
- Peer support groups
- Shopping
- **Maintain health and wellness** – walking; gym membership; diet groups; going to medical appt.
- Personal care – hairstyling, having nails done,
- Maintaining home; maintenance and improvement; cleaning; laundry
- Caring for others; relatives or friends
- **Spirituality: worship;** meditation; yoga classes;
- **Hobbies:** Pet care – walking the dog; gardening, painting; photography³²
- Going on vacation

Wisdom from President John F. Kennedy

“ The **great enemy** of the **truth** is very often not the lie – deliberate, contrived and dishonest – but **the myth** – persistent, persuasive, and unrealistic.”

Formidable Factors Limiting Change



Walt Kelly, Pogo, Earth Day, 1970

□ The very practices and systems that need to change are the ones developed, as innovative, by the current generation of leaders.

Barriers to Transformational Change

Paula Alsher, April 2013

1. Lack of clear scope and definition; **need a clear consistent definition of where going**
2. Too many other changes competing for resources; **transformational change “implementation” is a ferocious, resource-consuming activity. Strategy is but 15% of the journey & 85% of the journey lies ahead.**
3. Poor implementation history, if there, will haunt you.
4. No sustained leadership support; **must be intact for at least three years!!!**

Barriers to Transformational Change -2

5. Major employee resistance: You **must have a plan on how to source and manage the resistance.**

6. Weak motivation: **the motivation to leave the current state must be greater than staying where you are. The only way to motivate people is to alter the reinforcements.**

7. **Risk-averse cultures:** if turf guarding is the political norm, you will fail dramatically unless you change the reinforcements.

Barriers to Transformational Change - 3

8. Poor communications: Pay attention to the psychological cues you are giving in your delivery methods. **Radical change requires radical communication methods.**

9. Unclear or undisciplined governance structure: The **governance structure must provide a clear line of sight from strategy to portfolio to projects and sub-projects.**

10. Use of multiple approaches reinforces the silo mentality: How you implement is important. **Begin with the end in mind.**

Change is about people
and behavior...

not about bylaws, structure,
regulations, policies...it is
about vision and overcoming
obstacles



Essential and Ultimate Goal for Culture Change

To help each staff member understand:

- **how they fit into the larger plan of the organization** by supporting them and providing them with training in order to:
 - Increase morale
 - Increase productivity
 - **Increase communication**
 - Increase overall commitment to the mission

Change and Transition

- William Bridges (Managing Transitions, 1991) explains there are significant differences between managing change and managing transition.
- **Change is situational**; the way things will be different; processes, structure, inputs, outputs, outcomes, etc. Change is **external**
- **Transition** is the **psychological process** that people go through to come to terms with the new situation. Transition is **internal**.

Change Management & People Transition Management

- **Change Management** starts with the **outcome**: where we want to be.
- **People Transition Management** starts with wherever people are (and where each person is).....

Change & Transition

Change

- A shift in the externals of any situation; moving ; restructuring a business;
- Funding changes; setting up a new program
- Is made up of events
- Visible and tangible; technical; structural
- Can happen quickly
- All about the outcomes we are trying to achieve

Transition

- The mental & emotional transformation that people must undergo
- Anxiety; confusion; fear; shock; denial; anger;
- An ongoing process
- A psychological process taking place inside people
- Has its own natural pace like any organic process
- About how we'll get there and how we'll manage things on the way

Resistance to Change

- People are **afraid of the unknown**; a natural defense mechanism for people who are **“losing” something**
 - Many people think things are fine the way they are; the way I/we’ve always done it
 - Don’t understand the need for change.
-
- **Managing the change process and transition emotions** is critical to the success of a change oriented project.

Possible Reasons for Resistance to Change

- Perceived loss of security
- Money
- Pride or satisfaction
- Friends
- Freedom
- Responsibility
- Authority
- Good working conditions
- Status
- Lack of respect
- Objectionable manner
- Negative attitude
- Personal criticism
- Not having had input
- Bad timing
- Challenge to authority
- Second hand information

Managers

- Focus on processes and systems
- Implement the vision
- Plan, budget & organize the team
- Empower the doing
- Maintain order and system
- **Manage the impact of change and make it happen**

Leaders

- **Inspire the transition**
- Create the vision
- Energize people and inspire them
- Engage the hearts and minds of staff
- Create change proactively
- Keep the values visible

Managers & Leaders

Managers

- Measure day-to-day
- Control and problem solve
- Contribute to teams
- Seek step-by-step improvement

Leaders

- Collaborate
- Motivate and inspire
- Keep a helicopter view
- Continue to challenge the status quo

Managing Transitions

“It isn’t the changes
that do you in, it’s the
transitions.”

Managing Transitions

- A **change will be sustainable if:**
 - It involves a critical mass of members and stakeholders of the organization
 - In a **meaningful way**
 - That allows them to develop their commitment
- Change begins by **creating/developing a Healthy Work Place where employees feel valued** and are supported to experience confidence, to ask questions and to suggest ideas and changes.

Levels of Commitment

- Commitment (to the new beliefs and practices)
- Enrollment
- Genuine Compliance
- Formal Compliance
- Grudging Compliance
- Non-Compliance
- Apathy

Peter Senge, The Fifth Discipline

Bridges' People Transition Model

- **Endings:** letting go of where we are now
- **Neutral Zone:** the in-between zone
- **New Beginnings:** new rules and new identity

Interventions to Help Transition

- Communicate individual behavior change
- Identify and understand who will lose what
- Sell the problem first; not the solution
- Get employees in touch with participants
- Talk to employees and ask what problems they have with the change
- Talk about the transition and let people know it is human to feel
- Hold regular team meetings even before the change

Communicating During Transition

- Don't rationalize not communicating
- The grapevine already has the news
- You told them once but it won't sink in
- Supervisors are in transition themselves – don't rely on trickle-down communication

Say what you know, say what you don't know and commit to a time to give them more information.

Transition Lessons from..... Psychiatric Center

- Clear purpose
- We **made sure everyone understood** what is meant by direct & indirect services, by providing a written definition
- Explained macro-level factors **behind the need to increase productivity** and shared monthly numbers at staff meeting; was a motivator; people liked receiving credit for **their productivity**
- Primary clinicians did **not** determine how to increase services on their own

Transition Lessons from..... Psychiatric Centers

- Site staff & clients created their own transformation plan
- Challenges: Buy in for EVERYBODY: people had a hard time believing we needed to change
 - Productivity not previously an issue
 - People felt criticized & micro managed
 - Based on previous history, people believed this new initiative would just go away in time

Endings: Respect the Past

- Don't ridicule the past. It negates people's self worth.
- Position the past as a positive legacy that paved the way for the new
- The past has/had certainty and predictability
- Don't stamp out the past like an infection
- Let people take something with them

Considering Endings

- Consider what they are letting go of:
 - How happy are they with the way things are?
 - What behaviors are being rewarded now that will change or need to change?
 - How can we get employees to embrace the change, eliminate their fear and develop a new identity and a sense of purpose in it?
- What communication and strategies are needed to get the employees there?

Encouraging Endings

- When encouraging people to “let go”:
 - Describe the change in as much detail as possible
 - Identify the ripple effects of change
 - Identify who has to let go of what
 - Notice intangible losses
 - Notice whether there’s something that is over for everyone

Endings – Accept Subjective Losses

Acknowledge losses openly and sympathetically!

- If you don't, it will stop open dialogue and you won't learn more from the person
- **Loss is subjective.** Your point of view is irrelevant! (Why me? Why us? Why now? What did we do wrong? Why weren't we told sooner? Is there a hidden agenda?)
- They will think you don't care about what they think or feel if you force your opinion

Mark the Endings

The last thing an organization needs is an incomplete ending that requires a whole new round of losses to finish the job before people have had time to heal!

This is the first task of transition management.

Life in the Neutral Zone

- People feel disoriented – in “limbo” , “between”; confused; **ambiguity**;
- Lack of clarity and **anxiety** over the future – what is going to happen (to me)?
- **Less productivity; less motivation; more sick days; resentment; self-doubt;**
- **Rumors abound** – people search for facts; answers are vague & unsatisfying to them
- **Polarization**; some rush forward; others stay back & hang on; vulnerable;
- Innovation potential (no new rules yet)
- Experimentation & breakthrough possibility

Managing the Neutral Zone

- Explain what the neutral zone is and validate people's feelings as "normal"
- Strengthen intragroup support and 2-way communication; set up transition monitoring team so feedback flows upward
- Admit you don't have the answers, but be optimistic & share information often
- Involve employees in temporary structures & in creating the design of the "new"
- Focus on what you can control & things you can do; be proactive; innovation time

Managing the Neutral Zone, 2

- Review policies and procedures
- Develop temporary roles
- Set short term goals; achievable
- Don't overpromise output during this time
- Set the bar low and celebrate small wins
- Provide training on teamwork, problem solving, etc.

People can deal with understandable change if its part of the bigger one.

Unrelated, unexpected changes may be the straw that breaks the camel's back.

New Beginnings: Hope

- Comfort; increasing acceptance and commitment to new vision; positive mood
- New focus on task; improved productivity
- Increased clarity but continued concern about being successful in new environment or new role
- How do I fit in? What do I have to do?
- The future is near and people begin to embrace the new changes

Managing the New Beginnings

- People need consistency and the 4 P's:
 - **Purpose:** help people understand the purpose behind the changes; why
 - **Picture:** help people imagine the future (vision) and how it will feel to be in it
 - **Plan:** a detailed outline the steps and schedule in which people will receive information, training and support
 - **A Part to play:** give people a role to play and their relationships to others in the transition and the new beginnings

Bottom Line – *The Train has left the Station.....*



**“Integrated Employment”
is inevitable**

- ▶ We see what is on the horizon and recognize that major reform is underway in the nation
- ▶ It is on a very fast track that may be slowed down
- ▶ Self advocate and family education must begin and continue
- ▶ Provider training, capacity building, outcome measures, transformation & collaboration are essential to thrive.....

Lessons Learned in Closing a Workshop: SRVS, Memphis, TN.

- Tyler Hampton, Executive Director
 1. Begin community based services as early as possible in the process to begin to break down barriers and to demonstrate success in addressing “safety” concerns.
 2. Find out who your employment champions are within the workshop and put them to good use with staff and families setting high expectations and spreading the word and stopping rumors. Begin benefits education/counseling.

Lessons Learned, 2

3. **Set a date and stick to it**

- Far enough into the future that you are confident you will **have the capacity**
- Assume some level of loss, but stick to your vision. If people want facility-based services, they need to go elsewhere.
- **Slowly stop all contract work** and educate contractors about employing their contract workers directly

4. Plan, plan, and plan some more

- **Create PCP transition plans for each person with their circle of support**

Lessons Learned, SRVS, 3

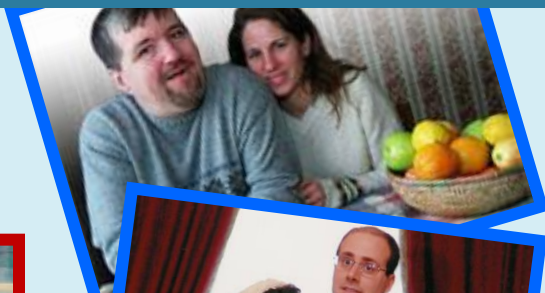
5. **Track your data early and set realistic goals**, which are essential to success.

- **Allow plenty of transition time** for each person; averaged about **7.5 months** from workshop to supported employment; about **13 months** to customized employment
- Three years later:
 - 35% individuals successfully employed;
 - 62% in fully integrated pre-vocational, community-based services
 - 3% loss to another provider

Stakeholder Engagement And Collaboration

“Coming together is a
beginning, staying
together is progress, and
working together is
success.”

Henry Ford



“Equal Justice Under the Law”



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