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## Teacher Leadership to Enhance Day Treatment Services

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6-30-2019

# Teacher leadership in day treatment classrooms

Silvia Robinson

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Teacher Leadership in Day Treatment Classrooms

Organization Improvement Plan

Silvia Robinson

Western University

June 30, 2019

# TEACHER LEADERSHIP IN DAY TREATMENT CLASSROOMS

## Abstract

Day treatment classrooms offer alternative educational programming for students who cannot attend regular classrooms due to their need for mental health care and treatment. The unique design of day treatment classrooms combines individualized educational programming provided by publicly funded teachers and mental health treatment provided by workers from a children's mental health agency. The Problem of Practice (PoP) aims to increase the leadership capacity for an elementary teaching team providing day treatment services within a children's mental health organization. The special education teacher and the academic programming of the student receives limited attention within the wider multidisciplinary team as the mental health treatment goals are prioritized, unintentionally overriding the educational goals. Too little is known about the current conditions under which this elementary teaching team in day treatment classrooms provide effective special education programming to its students. Emergent and authentic leadership approaches are examined within the existing distributed and team leadership style of the organization and critically analyzed through Nadler-Tushman's Congruence Model. This Organizational Improvement Plan (OIP) utilizes Appreciative Inquiry (AI) as its guiding organizational change framework to communicate the need for change and implement the change plan to enhance networking, collaboration, and communication with both school-based and non-school based stakeholders.

*Keywords:* Day treatment classrooms, Emergent Leadership, Nadler-Tushman Congruence Model, Appreciative Inquiry

# TEACHER LEADERSHIP IN DAY TREATMENT CLASSROOMS

## **Executive Summary**

The following Organizational Improvement Plan (OIP) aims to showcase the current functioning of an elementary teaching team in a unique educational setting and seek areas of professional and pedagogical improvement. The teaching team is comprised of teachers employed by the regional school boards to deliver special education programming in day treatment classrooms within a children's mental health agency in a large regional municipality in Southern Ontario. The day treatment classrooms, the teaching team, and the employees of the organization offer exclusive mental health treatment and educational programming to fit the individual needs of the child, youth, and families they serve. The organization's view of mutual support and collaboration fosters a multidisciplinary approach for all members working within the organization and is reinforced by stakeholders in both education and mental health professions (Ontario Ministry of Education, 2018; Ontario Ministry of Child and Youth Services, 2015, Centre for Children's Health and Wellness, 2016).

The Problem of Practice (PoP) aims to increase the leadership capacity for the elementary teaching team providing day treatment services within a children's mental health organization. The organization in focus intersects special education and children's mental health programming in a unique setting. Too little is known about the current conditions under which this elementary teaching team of day treatment classrooms provide effective special education programming to its students. The special education teacher and the academic programming of the student receives limited attention within the wider multidisciplinary team as the mental health clinicians maintain treatment goals a priority, unintentionally overriding the educational goals.

The organization has limited layers of organizational structure between its executive management team and frontline day treatment classroom staff members, thereby operating on a

## TEACHER LEADERSHIP IN DAY TREATMENT CLASSROOMS

flattened organizational structure and allowing for self-managed teams to emerge (Timperley, 2005; Bolden 2011). The organization is characterized by a dominant distributed leadership style which fosters the development of emergent leaders (Pescosolido, 2001, 2002; Northouse, 2016; Zhang, Waldman, & Wang, 2012). My role within the organization is not of a formally assigned leader, nor do I have formalized power within the teaching team. My personal leadership lens is mostly characterized by an authentic leadership approach to understand my own values and the needs within the organization, having a strong willingness to build relationships and connections with others, and being compassionate to the needs of my colleagues, the organization, and the students we serve (Wolff, Pescosolido, & Druskat, 2002; Northouse, 2016). If one can appreciate leadership as a relationship, and educational leadership as a tool for organizational learning, then we can begin to appreciate how a ripple effect of relationships support our education system in providing and extending the impact of best practices for students with mental health needs in our schools.

The leadership ideals that are inherent within the organization's leadership allow me to connect with the teaching team as an emergent leader to collaboratively transmit our current expertise into useful knowledge to the wider community and continue to develop our practice through this OIP. Emergent leaders within teams have established trust and confidence as authentic members of the team and whose shared vision is more likely based on shared values, needs, and beliefs. Given the unique organizational context and exclusive teaching role, the PoP seeks to explore possibilities for its teaching team to become leaders in sharing successful teaching practices for students with socio-emotional and behavioural challenges with external stakeholders in the region to enhance the impact of day treatment services.

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The OIP is founded in a theoretical framework that is subjective and interpretive in nature allowing subjectivity to weigh in as knowledge of the complexities and contexts that surround the actions, motivations, and values of us as members in our daily social interactions (Burrell & Morgan, 1979). Symbolic interactionism is deeply concerned with human life, people's actions, gestures, and symbols that serve to fulfill our responses and interpretations with social life which guides an in-depth examination into the functions of collaborative teamwork of Centre for Children's Health and Wellness (CCHW) as a micro system. Bolman and Deal's (2013) human resources frame is used as an organizational model to acknowledge how employee skill development translates into maintaining educators who are competent and confident in their work and sustains motivation for employees to perform well for the organization.

The literature on distributed leadership as an organizational leadership theory will be used to uncover how the organization is able to trust in its members and cultivate a teamwork approach. Similarly, interprofessional practice and multidisciplinary teamwork are analysed to specify the collaborative practices within the organization that support effective teaching in order to initiate appropriate leadership initiatives that build capacity for education and mental health professionals working in other day treatment classrooms (Barry, 1991; Dobbs-Oates & Morris, 2016; Solansky, 2008). The PoP focuses on a variety of interactions between group members and the structure that support effective professional relations to motivate the possibility of change initiatives.

Developing an inquiry into the therapeutic interventions and educational practices that promote children's mental health may support positive transitions for these students upon discharge to a mainstream school setting. However, success factors that support effective day treatment programming may be difficult to explain to other stakeholders given the specialization

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of the setting, staff, and educational programming, and even more challenging to replicate in external educational environments. The PoP seeks to identify factors that allow for effective instruction in day treatment classrooms and to investigate the internal leadership capacity of the teaching team and how this can expand to the wider community. The teaching team can proactively have a greater impact on the wider community if pedagogical approaches for these students are discussed with school teams, educators, support staff, and administrators in an open-minded and unbiased manner. The main change drivers are the organization, the teaching team, school boards, and affiliated service providers.

Emergent and authentic leadership are indicated as the necessary leadership approaches to change that are consistent with the elements of organizational culture, team efficacy, and individual competence. A critical organizational analysis is provided using the Nadler-Tushman Congruence Model (Nadler & Tushman, 1980) to search for both areas of change readiness and organizational gaps that require consideration. The structured framework of Appreciative Inquiry (AI) developed by Cooperrider, Whitney, and Stavros (2008) is established as the choice framework for leading and developing the organizational change due to the model's deep connection to the fundamental beliefs of a solution-focused paradigm already established within the organization. Bridges' Transition Model (William Bridges Associates, 2017) is also discussed as a tool to be applied throughout the implementation phase to monitor and evaluate the affective dimension of change of the change members. A discussion of limitations to both organizational change frameworks is presented and an examination of the ethical considerations and challenges within the context of the organization is also provided.

The following solutions are proposed leadership initiatives to increase teacher capacity in supporting the organization to enhance the effectiveness of the day treatment services:



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- (1) Engaging the teaching team in a Professional Learning Community (PLC)
- (2) Creating and maintaining dedicated websites to build a Community of Practice (CoP)
- (3) Hosting an annual open house

The recommended solution is to combine solution one and two; beginning by forming an internal PLC for the teaching team within the organization, with a vision to extend professional practice to a wider CoP consisting of teacher and support staff from other day treatment classrooms in the region. The recommended solution is described using an initial PDSA model cycle and outlining how AI is used to plan, develop, and implement the change plan, as well as describing the use of Bridges' Transition Model to monitor and evaluate the members involved in the change. A detailed communication plan is outlined recognizing the goals and phases of an effective communication plan by embedding the principles and practices of AI. Two measurement tools, the DICE Framework (Sirkin, Keenan, & Jackson, 2005) and the Risk Exposure Calculator (Simons, 1999) are hypothetically applied within this OIP to demonstrate how appropriate risk assessment can support a more successful implementation plan.

The OIP concludes with next steps and future considerations with a focus on acknowledging that teaching in day treatment is exceptional and often requires an adoption of pedagogical best practices to be acknowledged and spread to the wider community. It is quite possible that as alliances of day treatment teachers and support staff continue to engage in discussions and innovative professional inquiry, the change initiative translates to building capacity for these members to be leaders in the community in advocating for the needs of the student and children's mental health, thus raising the capacity of mainstream teachers and schools in welcoming students who were enrolled in day treatment services.

### **Acknowledgments**

My motivation to embark on a journey of professional development at Western University originates from a belief in the saying *practice what you preach*. I am privileged to be an educator of young minds contributing to a positive vision of their future. May my completion of this journey serve as a reminder to my students – past, current, and future – of the incredible achievements that are possible. It is my honour to use this opportunity to showcase a team of professionals and an organization that work tirelessly to truly deliver service excellence. Colleagues, I applaud you and thank you for making our workplace feel like home. It is my hope that this document serves to promote teacher leadership that stems from day treatment classrooms to the wider community with a vision of helping others in understanding and supporting the needs of our students and their families.

I am grateful to the wisdom and guidance from all the professors that I have encountered at Western University. I would like to especially thank Dr. Erin Keith whose dedication and never-ending reassurance allowed me to probe deeper for ways to continually improve in my thinking and writing. To my fellow classmates, you had a great impact on me throughout this process and I cannot thank you enough for your acceptance and friendship.

I would like to dedicate this accomplishment to my parents' unconditional encouragement and love. Your relentless perseverance, resourcefulness, and optimism in life inspires me to be my best and you two will always be my favourite teachers. I thank you from the bottom of my heart for always responding *go for it!*

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## TEACHER LEADERSHIP IN DAY TREATMENT CLASSROOMS

### Acronyms

AI	Appreciative Inquiry
PoP	Problem of Practice
OIP	Organization Improvement Plan
CCHW	Centre for Children's Health and Wellness
CMHO	Children's Mental Health Ontario
CoP	Community(ies) of Practice
CTCC	Care and/or Treatment, Custody and Correctional
IPE	Interprofessional Education
LMX	Leader-member exchange theory
PDSA	Plan-Do-Study-Act
PLC	Professional Learning Community(ies)



## CHAPTER 1: INTRODUCTION AND PROBLEM

### Organizational Context

The following Organizational Improvement Plan (OIP) aims to give emphasis to the role of an elementary teaching team in a unique educational setting. The teaching team is comprised of teachers employed by the regional school boards to deliver special education programming in day treatment classrooms within a children's mental health agency in a large regional municipality in Southern Ontario. For confidentiality purposes, the agency will be named Centre for Children's Health and Wellness (CCHW) throughout this document. The Ontario Ministry of Education provides guidelines for the approval and provision of Care and/or Treatment, Custody and Correctional (CTCC) Section 23 Programs hosted by a children's mental health agency who also receive directives from the Ontario Ministry of Child and Youth Services (Ontario Ministry of Education, 2018; Ontario Ministry of Child and Youth Services, 2015). These guidelines combine to form the unique arrangement of the elementary day treatment classrooms located at CCHW which value a client-focused, strengths-based, and individualized treatment and education plan for each student.

The day treatment services featured in this OIP are offered in classroom settings located in a publicly-funded child and youth mental health centre accredited by Children's Mental Health Ontario (CMHO) for children of elementary school age. Day treatment offers an alternative form of educational programming to students who cannot attend regular classrooms due to their need for mental health care and treatment and are considered at level 3 and level 4 on the continuum of needs as per the Ontario Ministry of Children and Youth Services (see Appendix A). Mental health workers, employed by CCHW, and school board-employed teachers jointly deliver individualized treatment and educational plans. These formal partnerships

combine best practices for the care, treatment and education of students as outlined in the key processes for intensive treatment services by the Ontario Ministry of Education, Ontario Ministry of Children and Youth Services, Children's Mental Health Ontario and the regional school boards. Each day treatment classroom can register up to eight students at a time, typically for one year of service, with average wait list timelines for admission of about one year (Centre for Children's Health and Wellness Employee, 2018). The organization and its four elementary day treatment classrooms exist in an independent building completely detached from a mainstream school. While the teaching team is comprised of both public and Catholic school board employees, there is no direct principal, administrator or other school board personnel on-site.

**Political economy context.** The OIP requires an examination into the larger political economy contexts that govern the fundamental beliefs of day treatment classrooms at CCHW. Liberalism justifies creating specialized classrooms for students given the inherent belief in the value of every citizen and in building strong communities (Raven, 2005; Freedman, 2001). Day treatment classrooms often supply the student with a variety of services that promotes individualized creativity and self-expression while modifying expectations so that students can achieve success at their own pace and ability (Freedman, 2001). CCHW is mainly concerned with stabilizing the student's behaviour, investigating and treating underlying mental illness, and coaching for a successful reintegration to their home school, rather than focusing on academic expectations alone.

Neoliberalism frames CCHW as a business pursuit through an economic view, or enhanced market system, requiring the organization to be an economy-serving institution that remains competitive, ideally through privatization (Apple, 2001; Ryan, 2012). Employees of CCHW are strongly encouraged to belong to a regulated professional association such as the

Ontario College of Social Workers or the College of Registered Psychotherapists of Ontario. Neoliberal theory suggests that an organization is more effective when it functions as an evolving enterprise to maintain efficient operations in a competitive market that demands constant productivity (Apple, 2001; Ryan, 2012). The organization employs approximately forty staff, including all management and mental health workers, who also depend on the organization to remain competitive in the field of children's mental health.

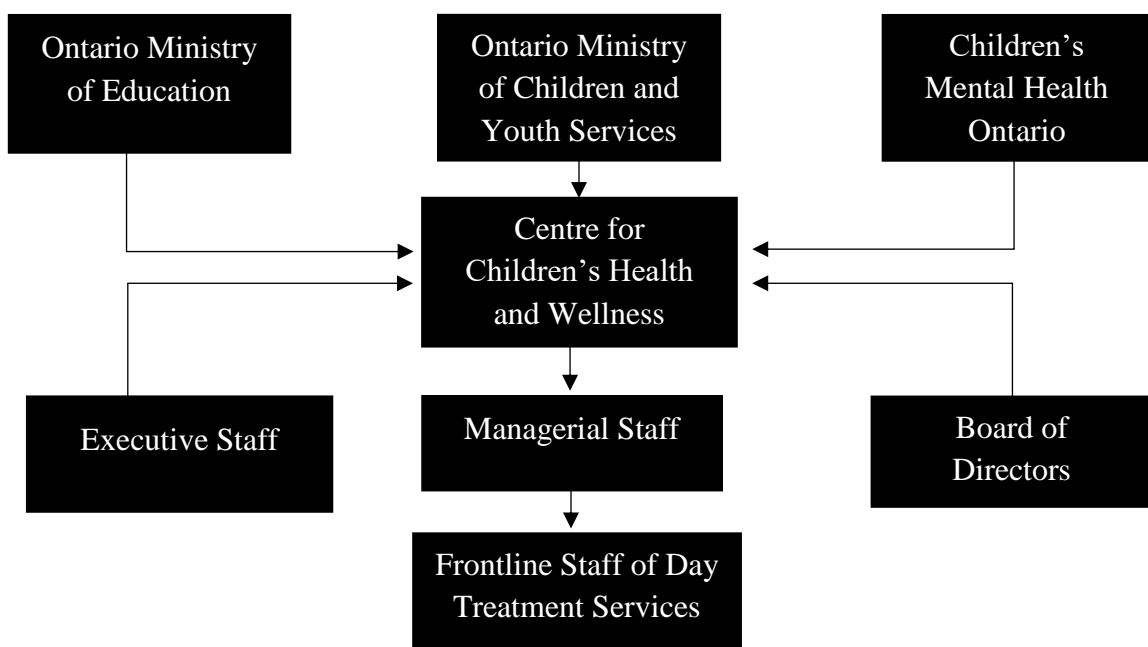
**Organization vision, mission, values, purposes and goals.** CCHW's vision is for children, youth and their families to receive services in a timely manner to achieve maximum mental health (Centre for Children's Health and Wellness, 2016). The Ontario Ministry of Education's renewed vision for education includes programming for children and youth who cannot attend school and require specialized care and treatment to improve learning and well-being (Ontario Ministry of Education, 2018). This vision is consistent with Ontario's Policy Framework for Child and Youth Mental Health and Children's Mental Health Ontario which envisions mental health as a key element of overall well-being for all children and youth in Ontario to reach their full potential (Ontario Ministry of Children and Youth Services, 2006; Children's Mental Health Ontario, 2018).

CCHW's mission is to improve the mental health of children, youth and families by providing high-quality therapeutic and educational interventions in collaboration with families and community partners (Centre for Children's Health and Wellness, 2016). Family counselling is a mandatory component of treatment to maintain a holistic, family-centred approach to therapeutic intervention as proposed by the guiding principles of Ontario's Policy Framework for Child and Youth Mental Health (Ontario Ministry of Children and Youth Services, 2006).

CCHW upholds a belief in service excellence, shared responsibility, and collaboration its

service delivery (Centre for Children’s Health and Wellness, 2016) by promoting a multidisciplinary approach where all members share in the responsibility of the treatment and educational programming of the student. The Ontario Ministry of Education (2018) endorses that, “Joint planning and multi-disciplinary teams should be used to ensure consistent and continuous support for children and youth in Education Programs to assist them in achieving their education and care, treatment and/or rehabilitation outcomes” (Ontario Ministry of Education, 2018, p. 6).

**Organizational structure and leadership approaches.** Distributed leadership is the dominating leadership approach given the organizational structure of CCHW. Timperley (2005) defines distributed leadership as the distribution of activities and interaction among multiple people and situations to sustain conditions for successful systems, processes, and capacities. CCHW has limited layers of organizational structure between its management team and frontline day treatment classroom staff members, thereby it operates on a flattened organizational structure and allows for self-managed teams (see Figure 1).



*Figure 1.* A visual representation of the organizational structure of CCHW. By Silvia Robinson (2018).

Current research on shared leadership through multidisciplinary or interprofessional work establishes that collaborating professionals who engage as a team are more competent and efficient in their practices (Dobbs-Oates & Morris, 2016; Solansky, 2008). Due to the complex nature of the work involved in day treatment classrooms, a reliance on collaborative team work of various disciplines is essential at CCHW. Dobbs-Oates and Morris (2016) highlight interprofessional education (IPE) as a model for professionals in the field of education to learn to collaborate with various disciplines stating the following:

Elementary and secondary school pupils would benefit from a trained cadre of professionals who both specialise in their own fields and also know how to work effectively with other educators. This would allow the educational team in each school building to provide well-coordinated academic, career, physical and social/emotional support to pupils. (p. 63)

Barry's (1991) study suggests self-managed teams are best directed through distributed leadership and are increasing in popularity as they can solve complex problems with increased productivity, reduce the need for middle management costs, and can attain rapid innovation and solutions.

**History of CCHW, current mission, and organizational strategy.** CCHW has existed in the non-profit sector for over 30 years by continually adapting its services, mandate, and policies to reflect the developments of its governing accreditors and the complex and diverse needs of its clientele. The current overall purpose of the organization is to provide intensive school-based therapeutic intervention, with an overall goal of stabilizing the presenting

externalizing and explosive behaviours, and re-integrating the child to the regular school system (Ontario Ministry of Children and Youth Services, 2015).

CCHW continuously ensures adequate and individualized supports by accessing consultative services such as child psychiatry, speech and language pathology, psychometry and occupational therapy during the one to two year enrollment of the student in a day treatment classroom. Given the complexity of needs in servicing this population and research into best practices for children's mental health treatment, a multidisciplinary team approach permeates the organizational strategy because the child or youth and their family require intensive and individualized services from both education and mental health professionals (Browne, Gafni, Roberts, Byrne, & Majumdar, 2004; Ontario Ministry of Education, 2018; Centre for Children's Health and Wellness, 2017).

### **Leadership Position and Lens Statement**

I am a member of the organization's elementary day treatment services' multidisciplinary team. More specifically, I am a special education teacher in one of four elementary day treatment classrooms offering specialized educational programs within CCHW. My role within the organization is not of a formally assigned leader, nor do I have formalized power within the teaching team. Leadership, however, is defined as the processes that one member employs to influence other members to reach a common goal (Northouse, 2016; Kouzes & Posner, 2012; Stincelli & Baghurst, 2014), and the literature supports any member of an organization who is actively engaged in leadership activities as a leader.

My personal leadership lens is mostly characterized by authentic leadership. Authentic leaders need to have self-awareness, an internalized moral compass, balance, and transparency (Northouse, 2016). The foundational element of authentic leaders is demonstrating an explicit

moral trait in which, “Authentic leaders understand their own values, place followers’ needs above their own, and work with followers to align their interests in order to create a greater common good” (Northouse, 2016, pp. 206-207). My inner drive of leadership to speak about a Problem of Practice (PoP) and developing an OIP is inherently authentic and stems from understanding my own values and the valuing the needs within CCHW, having a strong willingness to build relationships and connections with others, and being compassionate to the needs of my colleagues, the organization, and the students we serve.

In contrast to assigned or formal leadership, Northouse (2016) offers that emergent leadership develops over time from one’s actions and through communication. My professional relationship with the organization began in 2004, and officially as an educator in 2009.

Continuous engagement in professional development activities include attending special education initiatives offered by both the organization’s affiliated school boards, learning about children’s mental health best practices accessed through the organization, and pursuing higher education through graduate studies focusing on the intersectionality of special education and children’s mental health. I have established credibility with the teaching team and the wider multidisciplinary team in sharing information and exploring solutions whenever possible.

Continuous new learning causes personal reflective practice about my role within CCHW, our successes, and the possibilities for the future.

My years of service within the same organization allow me to make valid assumptions in my research that may not be evidenced through documented data, but rather, are best defined as tacit knowledge. Tacit knowledge is described as knowledge that is acquired by individuals over time through associations within a social network which results in a collection of conscientious insights, experiences, emotions, and internalized information (Eraut, 2000). My personal power

and agency to investigate a PoP and speak to the development of an OIP is based on an intuitive mode of cognition which “relies more on prior experience than theory or research, and makes considerable use of tacit knowledge” (Eraut, 2000, p. 126). Dreyfus and Dreyfus’ Skill Acquisition Model (as cited in Eraut, 2000) places my skills at an expert level (see Appendix B) within CCHW. The model identifies the use of tacit knowledge through: (a) situational understanding of tacit interchanges in the workplace; (b) automatic tacit procedural responses; and (c) intuitive decision-making based on tacit rules (Eraut, 2000). For instance, I have a high-level understanding of co-constructed collegial mannerisms that are effective within the multidisciplinary team resulting in timely and effective responses. Implicit knowledge also allows me to be perceptive in targeting the needs of the staff and organization by which to generate an appropriate PoP. I attribute the validity of tacit knowledge as a powerful form of experiential learning that claims my insider knowledge as important in the development of an OIP. My exploration of CCHW in this OIP will naturally embody a personal voice that captures and praises the experiences of the teaching team as an emergent leader and will seek to find areas of pedagogical and professional improvement.

**Emergent leadership.** The existing leadership ideals of CCHW promote a set of informal, yet inherent organizational values that affect all members of the organization regardless of discipline, seniority, or position. I consider these values to be the core of the organizational culture. Internal and external members of CCHW use words such as positive, solution-focused, welcoming, professional, and caring to describe the culture and language that represents the organization, its leaders, and staff. In discussing fundamental beliefs of exemplary leadership, Kouzes and Posner (2012) suggest that “leaders mobilize others to want to struggle for shared aspirations, and this means that, fundamentally, leadership is relationship” (p. 30). If



one can appreciate leadership as a relationship, and educational leadership as a tool for organizational learning, then we can begin to appreciate how a ripple effect of relationships support our education system in providing and extending best practices for students with mental health needs in our schools. The leadership ideals that are inherent within the organization's leadership will allow me to connect with the teaching team as an emergent leader to collaboratively transmit our current expertise into useful knowledge to the wider community and continue to develop our practice through this OIP.

Emergent leadership is exemplified both through positive communicative behaviours and personality traits. Emergent leadership and informal leadership will be terms used interchangeably. Fisher (as cited in Northouse, 2016) indicates several behaviours that contribute to leader emergence which include expressing oneself verbally, staying informed, seeking opinions, introducing new ideas, and being firm but not inflexible. My responsibility as a change leader is to speak to others to gain insight, acquire new information, remain relevant and current in my practice, and remain flexible within the workplace. A study on personality traits and emergent leadership found that individuals who appeared more dominant, more intelligent, and more confident in their own work were more likely to be identified as leaders by other members (Smith & Foti, 1998, p. 147). Additional research also indicates that cognitive ability, extroversion, and openness to experience are distinctive qualities found in individuals that relate to both emergent leadership and teamwork efficiency (Kickul & Neuman, 2000; Wolff, Pescosolido, & Druskat, 2002). Kickul and Neuman (2000) describe the conscientious emergent leader as an individual who is "responsible, dependable, persistent, and achievement oriented" (p. 45). My positionality is that of an emergent leader with conscientiousness, years of

experience, and reflective practice. Through this OIP, it is my goal to take the lead in enhancing the leadership capacity of the teaching team within CCHW.

**Team leadership.** CCHW's leadership style is deeply rooted in a team leadership approach whereby leaders of all levels strive to continuously create collaborative cultures, inspire and motivate, and celebrate accomplishments. The importance of examining the value of emergent leadership within teams is that CCHW allows for such leadership roles to surface and it is essential to understand how these roles affect productivity and service delivery. Literature on the benefits and limitations of informal leaders is limited, but indicative of a worthwhile leadership style to examine for organizations reliant on teams and group tasks (Pescosolido, 2001, 2002; Wolff et. al, 2002; Zhang, Waldman, & Wang, 2012). Pielstick's (2000) study showed that informal leaders are perceived by their members as having higher leadership value than formal leaders, particularly in the areas of shared vision, communication, relationships, community, guidance and character. Emergent leaders within teams have established trust and confidence as authentic members of the team and whose shared vision is more likely based on shared values, needs, and beliefs (Pielstick, 2000). My amount of consistent professional development and years of service to the organization contributes to a positive perception within the teaching team. Similarly, emergent leaders influence their group members by managing and modelling their group's emotional responses; thereby allowing emergent leaders to be considered empathetic and responsive to their followers' needs (Pescosolido, 2002). Being part of the teaching team as an emergent leader is advantageous because the leader can maintain strong and direct influences on staff members' morale, job satisfaction, level of commitment, and perceived self-efficacy through emotional understanding (Leithwood, Harris & Hopkins, 2008). Acknowledging leadership as a motivational relationship will be key in inspiring the teaching

team to identify and pursue networking opportunities by which to share our best practices in mental health day treatment classrooms.

I am a scholar-practitioner and an informal leader within the teaching team of an organization that relies heavily on multidisciplinary teamwork. The literature on emergent leaders uncovers encouraging probabilities for me to establish myself as an informal leader within my team and to pursue leadership practices that benefit the teaching team and reach the wider community. It is worthwhile to note a finding that informal group leaders have the greatest influence in determining group efficacy, but only during the beginning of a task; losing its impact throughout the course of group development (Pescosolido, 2001), and this may become applicable in this OIP. As an emergent leader, I may have the greatest impact within the teaching team in activating a vision to co-construct leadership activities, or within the wider multidisciplinary team in communicating the need for increased teacher leadership capacity.

### **Leadership Problem of Practice**

The PoP aims to increase the leadership capacity for an elementary teaching team providing day treatment services within a children's mental health organization. The organization in focus intersects special education and children's mental health programming in a unique setting. Too little is known about the current conditions under which this elementary teaching team of day treatment classrooms are able to provide effective special education programming to its students. The special education teacher and the academic programming of the student receives limited attention within the wider multidisciplinary team as the mental health clinicians maintain treatment goals a priority, unintentionally overriding the educational goals. Petrie, as cited in Hall's (2005) work, suggests that each profession has a different "cognitive map" and that "...quite literally, two opposing 'disciplinarians' can look at the same thing and

not see the same thing” (p. 192). The author also notes previous research that has coined the term “role blurring” as the boundary confusion that professionals may face due to overlapping competencies and responsibilities which require effective interactions within teams. Effective leadership and conflict resolution strategies to mediate such team challenges in a timely manner can prevent the risks for conflict and burn-out (Hall, 2005). Team success is highly dependable on a lateral organizational structure whose culture supports member involvement and decision-making (Kogler Hill, 2016). It is important to have a strong understanding of the influences that can positively and negatively affect teamwork of educators within multidisciplinary teams. In my role as a scholar-practitioner in this developing OIP, it will be important to note both the advantages and pitfalls of multidisciplinary teamwork to truly assess areas of strength and need when articulating the effectiveness of the teaching team. The PoP will also assess areas for continued growth by investigating opportunities for the teaching team to increase the impact of day treatment services through leadership initiatives.

As a children’s mental health service provider, CCHW finds itself at the corner of non-profit and government-funded, merging special education and socio-emotional/behavioural treatment, integrating inclusion and individualized design, and fusing teachers among multidisciplinary teams. Kogler Hill (2016) defines team as an organizational group whose members share common goals and are interdependent in coordinating their activities to accomplish these goals. The current success of the teaching team within a multidisciplinary setting can be attributed to a belief in organizational learning which can only occur if all co-workers, regardless of discipline, have a desire to collaborate, agree to communicate openly and regularly, and can seek supervision and honest feedback through various non-traditional approaches (Kogler Hill, 2016). The team leadership approach is widely used and applied in my

workplace as multiple disciplines come together to implement and evaluate programming for students and their families.

The teaching team is very small, and our professional identity, roles and responsibilities are already complex at best. Robinson, Anning and Frost's (2005) research specifically focuses on influences of knowledge distribution and practice within multidisciplinary teams for educators; their findings on the complexities of maintaining professional identity within teams note many strategies that members can employ to maintain professional identity which align with effective organizational learning. Given the unique organizational context and exclusive teaching role, the PoP seeks to explore possibilities for its teaching team to become leaders in sharing successful teaching practices for students with socio-emotional and behavioural challenges with external stakeholders in the region. These leadership initiatives may include articulating our distinct pedagogical interventions, tracking our communication style within the multidisciplinary team, monitoring the effectiveness of the day treatment services, and seeking ways to share our findings with school-based and non-school based stakeholders.

### **Framing the Problem of Practice**

The POP focuses on the effective practices of educators in a unique educational setting and seeks to increase the impact of day treatment services on the wider community. The examination is in an area of social science that combines individuals, teams, and organizations through leadership and learning. The following section specifies the theoretical framework that guides this investigation given the context discussed above.

**Theoretical framework.** An interpretivist theoretical paradigm is foundational to this PoP because it frames knowledge as giving meaning to observations of situations based on one's personal experiences (della Porta & Keating, 2008; Mack, 2010; Raddon, n.d.) thus allowing

subjectivity to weigh in as knowledge of the complexities and contexts that surround the actions, motivations, and values of us as members in our daily social interactions. Framing human interactions in this manner indicates a belief in individual and multiple interpretations, that events are subjective and distinct, and seeks to explain and understand the experiences of the participant (Burrell & Morgan, 1979; Mack, 2010).

The sociological perspective supports the analysis of the PoP with a specific focus on symbolic interactionist theory. Blumer (1969) identifies three basic premises of symbolic interactionism: (a) individuals behave toward things depending on the meaning they have attached to the item; (b) meanings stem from our social interactions with other people; and (c) meanings are informed and manipulated by people through interpretive processes (p. 2). Symbolic interactionism is deeply concerned with human life, people's actions, gestures, and symbols that serve to fulfill our responses and interpretations with social life which guides an in-depth examination into the functions of collaborative teamwork of CCHW as a micro system. By examining the PoP through a symbolic interactionist lens, it may provide profound opportunities to investigate team members' perceptions of roles of themselves and others, uncover deep-rooted interpretations of teamwork, and identify patterns of symbols and repeated actions that either help or hinder collaborative multidisciplinary teamwork.

**Organizational framing.** To begin to understand the forces that shape the PoP, it is important to share a brief context of the organization using relevant models of reference. Metaphors and images found in literature of organizations are often used as mental models to assist members and leaders in viewing their organizations through a specific lens by which to analyze their organization (Morgan, 2006). The PoP is best observed through a human resources frame (Bolman & Deal, 2013) as it acknowledges that employee skill development translates into

maintaining educators who are competent and confident in their work and sustains motivation to perform well for the organization. The values and philosophies of this frame promote staff growth and development due to a belief that “people’s skills, attitudes, energy, and commitment are vital resources that can make or break an enterprise” (Bolman & Deal, 2013, p. 117). CCHW would embrace solutions as part of a human resource development plan in that, “If employees are developing themselves personally and professionally and the organization is collectively building its capacity to learn, there will inevitably be corporate gain from the ingenuity, innovativeness, and creativity that is being untapped” (Mabey, 2003, p. 434). The organization prides itself in valuing each staff member as part of a larger family and it would respond well to proposals addressing areas of growth for its teaching team.

Of the basic human resource strategies adapted from Bolman and Deal (2013), the principles that resonate most with the PoP are keeping, investing, and empowering the staff (p. 140). The organization does not have authority on hiring practices of its teaching team, but it certainly has a strong social and cultural code in wanting to retain competent teachers. Kouzes and Posner (2012) maintain that “when people feel a strong sense of affiliation and attachment to their colleagues, they are more likely to have a higher sense of personal well-being, to feel more committed to the organization, and to perform at higher levels” (p. 312). Similarly, Leithwood, Harris and Hopkins (2008) state that “leaders improve teaching and learning indirectly and most powerfully through their influence on staff motivation, commitment and working conditions” (p. 32). CCHW is relationship-based and consistently allows for self-managed teams to organize themselves to carry out complex decisions with innovation and confidence by investing in ongoing formal and informal learning and development, listening to and addressing gaps as needed, and maintaining a team approach to empower and support professional confidence. The

organization places a high priority on teamwork to enrich self-efficacy, foster equality among employees, and promote networking with stakeholders to obtain and distribute best practices.

**Distributed leadership.** The literature on distributed leadership as an organizational leadership theory uncovers how CCHW is able to trust in its members and cultivate a teamwork approach. The origins of distributed leadership emerged from an incongruence between modern working teams and traditional leadership models seeking a democratic alternative to the leader-centric model (Bolden, 2011; Mayrowetz, 2008). Barry's (1991) study suggests teams are increasing in popularity as they can solve complex problems with increased productivity, reduce the need for middle management costs, and can attain rapid innovation and solutions. Spillane, Halverson, and Diamond (2004) determine leadership as the activities engaged in by leaders as constructed within the interaction of leaders, followers, the task, and its context. Woods, Bennett, Harvey, and Wise (2004) argue that distributed leadership contains three distinctive elements of the concept which include: (a) an emergent property; (b) an openness to boundaries; and (c) leadership according to expertise. These foundational understandings of distributed leadership support my emergent leadership role within CCHW.

Distributed leadership relates well to my emergent leadership role as I will have to propose changes, endorse leadership activities, and collaborate effectively with other professionals. Timperley (2005) defines distributed leadership as the distribution of activities and interactions among multiple people and situations to sustain conditions for successful systems, processes and capacities. The literature indicates a strong positive relationship between distributed forms of leadership and team effectiveness (Solansky, 2008; Wang, Waldman, & Zhang, 2014; Barry, 1991). Solansky's (2008) study on self-managed teams noted a stronger sense of competence and motivational, social, and cognitive advantages over the teams led by a



single individual. Gronn's (2002) research identifies two forms of distributed leadership: (a) numerical action indicating leadership through numerous individuals; and (b) concertive action, involving spontaneous collaboration, intuitive working relations, and institutionalized practices.

**Multidisciplinary teams.** In seeking best practices of teachers in day treatment, it will be important to analyse the collaborative practices within the organization that support effective teaching in order to initiate appropriate leadership initiatives that build capacity for education and mental health professionals working in other day treatment classrooms. The PoP must focus on a variety of interactions between group members that support effective professional relations to motivate the possibility of change initiatives. Barr (as cited in Dobbs-Oates & Morris, 2016, p. 56) defines IPE as, "Occasions when two or more professions learn with, from, and about each other to improve collaboration and the quality of care". The Interprofessional Education Collaborative Expert Panel (as cited in Dobbs-Oates & Morris, 2016) emphasizes that effective interprofessional practice requires mutual respect and relationship building among the various professionals who will be working together. Therefore, recognizing the team members' social relations play a critical role in the functioning of a team.

My role as emergent leader will be to harness the interprofessional social dynamics and the functions of distributed leadership to effectively communicate the PoP to the teaching team. Wang, Waldman and Zhang's (2014) examination of the association between shared leadership and team effectiveness conclude that sharing of leadership functions that are oriented toward change are especially relevant to the achievement of team outcomes. Timperley (2005) also postulated that vision-in-action through this leadership style is a powerful tool for change. Shared leadership is found to be more related to attitudinal and behavioral outcomes and generating trust toward each other to enhance cooperation and cohesion, rather than performance

outcomes (Wang et al., 2014; Woods, Bennett, Harvey, & Wise, 2004; Spillane, Halverson, & Diamond, 2004). Gronn (2002) offers the term “conjoint agency” as comprised of interpersonal synergy and reciprocal influence within the team members, making interdependence and coordination key properties in distributed leadership. These findings further support the need of a careful communication plan of the PoP for the teaching team and the organization to gain confidence and build partnership for enhancing our team’s leadership capacity and to influence flexibility in acceptance of future changes.

### **Guiding Questions Emerging from Problem of Practice**

The existing services offered by merging special education and intensive children’s mental health day treatment are extremely unique. Developing an inquiry into the therapeutic interventions and educational practices that promote children’s mental health may support positive transitions for these students upon discharge to a mainstream school setting. Emerging questions about day treatment services for children’s mental health provided in classrooms include: What are the key factors that contribute to more effective day treatment services? What challenges will students face with sustaining these therapeutic implementations beyond their enrollment in day treatment?

The combination of therapeutic interventions for improving children’s mental health and special educational programming within a day treatment classroom require skillful multidisciplinary teamwork between mental health service providers and educational staff. Based on my positionality within CCHW, potential factors and phenomena that influence the PoP within the unique workplace for teachers must be examined. How is the role of a special education teacher in a day treatment classroom different from teaching placements in other special education classrooms? How does a multidisciplinary team help or hinder the educational

programming for students enrolled in day treatment? A close examination into the role of multidisciplinary teamwork could support future considerations for students reintegrating into their community of schools.

**Challenges.** It is important to be mindful about the potential challenges that can emerge from the PoP which seeks to increase teacher leadership beyond the day treatment classroom. Success factors that support effective day treatment programming at CCHW may be difficult to explain to other stakeholders given the specialization of the setting, staff, and educational programming, and even more challenging to replicate in external educational environments. As such, careful consideration must be given to the following: How can teachers from day treatment classrooms in CCHW contribute to positive outcomes and improvements in educational programming offered to students? On the internal treatment team? To the wider community? Beyond the students' enrollment in day treatment classrooms? Furthermore, are there factors within day treatment classrooms that are not reproducible or non-transferable in other environments? If so, what are they and how can this be more accessible to benefit the student in care returning to the mainstream classroom?

The nature of the PoP investigates the capacity for teachers in day treatment classrooms at CCHW to attain a leadership role within their professional scope. Challenges may emerge in developing an OIP for the elementary special education teachers in day treatment classroom at CCHW. Considering the existing responsibilities of the teaching team, what are the existing barriers to undertaking an emergent leadership role? Is there currently any internal organizational resistance present to increasing teacher leadership capacity?

### **Leadership-Focused Vision for Change**

The following section articulates the gap between the present status of the organization and the envisioned future state for educators at CCHW. Priorities for change are discussed and change drivers are identified.

**Envisioning the future.** The Ontario Ministry of Education and the Ontario Ministry of Children and Youth Services provide guidelines to support day treatment classrooms, but the intricacies within CCHW that prove fruitful for the students and staff team remain an enigma to an outside stakeholder. Students enrolled in day treatment services are not considered students of their sending school board during the treatment phase. Rather, these students are registered as receiving services from a CTCC facility. Upon their return to a mainstream school, they are re-enrolled as students of the regional school board. A current challenge stems from a lack of continuous discharge and transition planning from day treatment to the receiving school. The student, parents, day treatment staff, receiving school representatives, and receiving school board personnel attend a re-entry planning meeting. This transition meeting allows the day treatment team to share strategies that have proved beneficial in the stabilization of externalizing acting-out behaviour and special education approaches that were successful for the student's education plan. The student is also invited to share their student advocacy card that outlines their learning style, required accommodations, preferred strategies for self-regulation, and interests to ensure a more successful transition. Due to staffing and timing, these meetings are often held weeks or months in advance of reintegration, and sometimes in the absence of the key players in the transition such as the receiving teacher and support staff. The transition planning gap of information that emerges can be unproductive and anxiety-producing for the student, parent, and the receiving school.

In order to share best practices with others, the PoP seeks to examine the internal leadership capacity of the teaching team and how this can expand to the wider community. To maximize the impact of best practices from day treatment classrooms into mainstream classrooms, teachers from CCHW are in an advantageous role to support both the priorities of the organization and the wider community. Day treatment teacher leadership opportunities can significantly improve the future state of transition planning by bridging the informational gap between day treatment services and the receiving school. As representatives of both the school board and the day treatment facility, day treatment educators are in a favourable position to increase their leadership capacity in transferring this knowledge to these external stakeholders through more consistent means.

**Priorities for change.** The PoP seeks to harness data to identify factors that allow for effective instruction in day treatment classrooms and to investigate ways to increase teacher leadership capacity. CCHW's vision is to be a larger, integrated agency championing for children's mental health. Its goal is to provide service excellence and gain partnership, shared responsibility, and collaboration with various stakeholders (Centre for Children's Health and Wellness, 2016). Andrews, Cameron and Harris' (2008) study explains that the pressures from the external organizational environment or context is more important than the internal organizational structure in leading change initiatives. While day treatment classroom teachers have an emergent leadership role within CCHW, the external environment and stakeholders that surround the organization may be prepared to have discussions about shared responsibility and collaboration with a day treatment teacher than with any other member of the organization. CCHW places a high priority on teamwork to enrich networking with communities and schools to obtain and distribute best practices. Day treatment classroom teachers can help improve the

practices of other teachers and schools by sharing strategies and co-constructing processes that can be applied at the school and classroom level before a student is enrolled in day treatment.

Day treatment classroom teachers can proactively have a greater impact on the wider community if pedagogical approaches for these students are discussed with school teams, educators, support staff, and administrators in an open-minded and unbiased manner.

**Change drivers.** There are a few change drivers that are influential to the impact of the PoP. The organization and the teaching team are change drivers internal to CCHW, and the receiving school and other community service providers being external change drivers to the organization. The tensions within each sector are useful in shifting the current state to the envisioned future state.

**The organization.** CCHW encourages all members of its multidisciplinary team to use creativity and enterprise to make improvements to any area related to the wellbeing of the agency, its staff, and its clientele. As the organization's leaders focus on children's mental health, they would embrace the emergence of leadership initiatives that enhance the special education and academic programming of our students; and extending that knowledge and learning to the wider teams of the organization. Chatalalsingh and Reeves (2014) describe effective leaders within interprofessional teams as those who support, mentor, participate and demonstrate a willingness to share and learn from others. Emergent leadership practices for teachers of the day treatment classrooms at CCHW would include participating in discussions with the multidisciplinary team, understanding and supporting best practices within our treatment team, and reaching out to others to share about effective approaches for our students.

**The teaching team.** While there are policy and procedure guidelines for educational programs for students in government approved CTCC facilities, much of an educator's role at

CCHW is an adoption of observation and assimilation of successful processes that have been established for decades. Professional flexibility is an element for achieving optimal interprofessional team collaboration which is described as “how flexible professionals are in expanding traditional roles and behaviors that support flexibility in professional thinking and roles such as mutual respect, communication, and compromise” (Mellin, Anderson-Butcher, & Bronstein, 2011, p. 52). A leader who can display professional flexibility can create spaces for interdependent learning from the perspective of other professions which expands the capacity of all professionals to offer quality services to at-risk students and their families. The learning culture and social environment within CCHW is such that any new learning brought forth by any member is appreciated, nurtured and, valued. The emergent leader would use the current organizational team culture to network with external stakeholders utilizing similar positive influences of professional flexibility.

*Schools, school boards, and other community service providers.* One of the greatest consumers of day treatment services for students with moderate to severe behavioural and socio-emotional concerns is the mainstream school system. The regional school boards and family of schools assist many parents in seeking day treatment services for their child when other avenues of internal support at the school level are exhausted. Likewise, day treatment facilities collaborate with the regional school boards and schools in allocating the best possible placement when reintegrating the student back to the mainstream school system. The literature notes that trust within interdependent actors in complex systems is one critical variable in achieving the educational goals for students (Tschannen-Moran & Gareis, 2015; Handford & Leithwood, 2013; Tschannen-Moran & Hoy, 2000) As such, collaboration and trust between the school and CCHW are integral factors in the referral, enrollment, and transition phases for students

requiring day treatment services. On a similar note, other community service providers who offer day treatment services in their facilities would benefit from an interdependent network that uses trust and professional collaboration to discuss best practices.

**Appreciative inquiry.** Appreciative Inquiry (AI) is an identified organizational change framework cited in Evans, Thornton, and Usinger (2012) as a model that seeks to change in the direction by which it inquires. Cooperrider, Whitney, and Stavros (2008) state, “AI is based on the simple assumption that every organization has something that works well, and these strengths can be the starting point for creating positive change” (p. 3). This is deeply connected to the fundamental beliefs and organizational culture of a solution-focused paradigm established at CCHW. The organization operates on a culture of valuing all individuals for their strengths, rather than limitations, appreciating and noticing any and all accomplishments, and focusing on a desired future, rather than the past or current problem. Cooperrider and Whitney (2007) explain that “appreciative inquiry is the cooperative, co-evolutionary search for the best in people, their organizations and communities, and the world around them...human systems grow in the direction of what they persistently ask questions about” (p. 75). AI is situated in the interpretivism realm of social theory; emphasizing social order through cohesion, adopting an integrationist view of social coordination, and social constructivism at its core (Burrell & Morgan, 1979; Cooperrider & Srivastva, 1987). AI will be the choice framework for leading the change process throughout this document.

**Bridges’ Transition Model.** William Bridges’ Transition Model is cited in the resource guide for change management in child and youth mental health from the Ontario Centre of Excellence for Child and Youth Mental Health (2017). Bridges’ Transition Model was developed in the early 1990s by change consultant William Bridges. Bridges (1986) theorizes that change



causes resistance from members, and so it is more helpful for leaders to focus on the transition process that members experience. It is not considered a framework for operational change, but rather, a guide to manage the emotional transitions of change. It operates on the notion that while changes are constant and occur external to the individual, transition exists within the individual (William Bridges Associates, 2017). The three main steps in the transition model are: (a) ending, losing and letting go; (b) the neutral zone; and (c) the new beginning (see Appendix G). The Bridges' Transition Model will be discussed during the monitoring and evaluation phases of the change implementation plan.

### **Organizational Change Readiness**

Assessing an organization's readiness for change is important in ensuring that change is welcomed, enforced, and sustained within the organization and its members. A general view of the organizational readiness can be obtained by using Holt, Armenakis, Feild, and Harris' (2007) study on organizational change readiness who conclude that organization readiness is influenced by its members' beliefs. These include a belief that the members are capable in applying the change, the change is appropriate, there is managerial support for the change, and the change will benefit its members (Holt, Armenakis, Feild, & Harris, 2007). Weiner (2009) also suggests that organizational readiness is an amalgamation of both structural and psychological constructs. CCHW's culture and overall organizational vision promotes forward thinking, adaptability, and openness. Historically, when leaders of CCHW have proposed changes, staff members have been willing and active participants in previous change initiatives.

Two tools will be discussed as pertinent in determining the organizational change readiness of CCHW. Judge and Douglas (2009) discovered eight dimensions related to readiness that are valuable in evaluating the change readiness of CCHW for the PoP given the established

culture and historical context of the organization. Trustworthy leadership, trusting followers, involved middle management, and capable champions are four dimensions that speak to the required quality and capacity of the members of the organization (Judge & Douglas, 2009). CCHW is perceived to be led by trustworthy leaders throughout the region it serves, in larger accrediting systems, and by its staff members. In addition, the high rate of staff retention and staff years of service speak to the commitment and willingness of the followers to accept and trust change initiatives. The organization's formal leadership has been previously mentioned as operating on a flattened structure due to the limited layers between executive leadership and frontline employees. Therefore, CCHW's middle management members are both knowledgeable on the broader organizational issues and quite involved in listening to and influencing their followers. Lastly, CCHW entices certain employees to champion a worthwhile cause due to distributed leadership. As opposed to traditional models of organizational champions that arise from the management team, a distributed leadership approach allows for any member of its multidisciplinary to emerge with a leadership initiative. Innovative culture, accountable culture, effective communication, and systems thinking are the other four dimensions that capture the required essence and psychological milieu of the organization (Judge & Douglas, 2009). The existing distributed leadership approach at CCHW, which lends itself to a team leadership approach, empowers all members of the organization to seek constant innovation and creativity in its service delivery. In seeking to be a leading regional facility for children's mental health, CCHW upholds a culture of professionalism through accountability and appropriate resource allocation. Effective communication is modelled vertically from the executive management team and expected horizontally from all staff members within the treatment team, among multiple disciplines, and all stakeholders. Comparatively, the executive management team is transparent

with its members regarding wider systemic interactions that promote systems thinking and prepares its employees to create spaces for interdependence and collaboration with multiple stakeholders.

The second tool used to calculate the change readiness of CCHW is cited in Cawsey, Deszca, and Ingols (2016). The scale entitled *Rate the Organization's Readiness for Change* has six readiness dimensions along with readiness scores; the scores range from -10 to +35, with a higher score determining more organizational readiness (Cawsey, Deszca, & Ingols, 2016). Upon reflection and completion of the scale, CCHW scored 26 of the possible 35 points, or 74% in favour of change readiness. The highest scores were in the areas of *credible leadership and change champions* and *openness to change*; meanwhile, mid-range scores were found in the areas of *previous change experience*, *executive support*, and *measures for change and accountability*, and the lowest score was obtained in the area of *rewards for change*. The scale is designed in such a way that it more specifically rates some dimensions more than others, but it still provides an understanding of areas that promote change readiness, and other areas that must be addressed before moving forward. It was noted in the rating tool that there is a need to improve the capacity, confidence, and self-efficacy of the other teaching team members as they are the focus of the PoP. The development of the OIP will require the involvement and support of the day treatment teaching team and this will be addressed in the subsequent chapter using leadership approaches to change and frameworks for leading the change process.

**Personal readiness for change.** Cawsey et al., (2016) describe the requirements for becoming a successful change leader, or change agent, which resonate with both my leadership lens and role within the organization. Change leaders effectively balance insight and action, understand the organizational system and changes that are appropriate given its context, are self-

aware of their influence within the organization, and use their special personal characteristics to emphasize a persistent need to learn (Cawsey et al., 2016). It is important to have a deep, personal understanding of the richness of the organizational culture and factors that will promote or hinder change initiatives. More specifically, my insider knowledge fosters an understanding of, “which tasks are key at *this* point in time given *this* environment and *this* organizational strategy” (Cawsey et al., 2016, p. 30). I acknowledge my determination to both drive change and enable change, to diagnose problems of resistance as a necessary tool of opportunity, to recognize the importance of both process and outcomes, to adapt and respond any required changes, and to balance the pros and cons of patience throughout the change plan. I am aware that my current role as change leader and change initiator will benefit from enlisting the support of change champions, change facilitators, and change implementers to empower change recipients in accepting the change initiative.

**Competing internal and external forces.** The emergent OIP can bring about uncertainty and tension for some members of the organization which require leaders to carefully assess and support organizational readiness. Daggett and Jones (2014) state that, “change is not about simply adopting best practices, but rather about creating a culture that recognizes strengths and weaknesses, encourages innovation and initiative, and adapts best practices and ideas from others” (p. 2). The current status of the day treatment teaching team is nestled among a wider multidisciplinary team. The expectation is that teachers create, implement, and assess individualized educational programs for their students. The PoP will challenge this teaching team to engage in leadership activities within the wider community to gain and provide insight for best practices for educating students in day treatment classrooms. The comfort for other teaching team members of being special education teachers with expertise in day treatment classrooms

within an accepting multidisciplinary team may be met with resistance, fear, or anxiety in attempting to raise the leadership capacity. Weiner (2009) proposes promoting readiness for change by “highlighting the discrepancy between current and desired [state], fomenting dissatisfaction with the status quo, [and] creating an appealing vision of a future state of affairs” (p. 73). As the representative of this OIP, I need to motivate and inspire our current teaching team in appreciating our expertise and victories as members of a unique teaching circle while minimizing fear and hesitation for their collaboration to this project.

**Chapter summary.** This chapter contextualizes CCHW and identifies distributed leadership as the dominant leadership style of the organization. The emergent leadership position and authentic leadership style of the change driver are established in consideration of the leadership opportunities within the organization. The PoP is theoretically oriented through an interpretivist lens which supports subjectivity as knowledge throughout the remainder of this document. The choice framework for leading the organizational change as outlined in this OIP will be Cooperrider et al., (2008) Appreciative Inquiry as the model is deeply connected to the fundamental beliefs of a solution-focused paradigm already established within the organization. William Bridges Associates (2017) Transition Model will also be applied during the monitoring and evaluation phases of the change implementation plan. A leadership-focused vision for change is presented by identifying priorities for change and change drivers that will benefit from the change initiative. Organizational change readiness is evaluated by assessing current organizational practices and recognizing competing forces that shape change.

## CHAPTER 2: PLANNING AND DEVELOPMENT

The upcoming chapter will describe the phases of planning for change and the development of change processes that will be required to implement, monitor, evaluate, and communicate change effectively. A focus on emergent leadership as an approach to change will be discussed as well as how AI (Cooperrider, Whitney, & Stavros, 2008) can be employed as a specific framework for leading the change process. The William Bridges' Transition Model (William Bridges Associates, 2017) is introduced as a tool to manage transitions throughout the monitoring and evaluation phases of the change implementation plan. The chapter also provides a critical organizational analysis of the required changes using Nadler-Tushman's Congruence Model (Nadler & Tushman, 1980). In addition to an evaluation of possible solutions for the PoP, this chapter includes an examination of the ethical considerations and challenges within the context CCHW.

### **Leadership Approach to Change**

The literature on leadership approaches of formal organizational leaders is expansive yet approaches of emergent leadership are far more modest. Despite the limited research available on informal leadership, it is vital to recognize its importance as the leadership approach that will propel change forward given the context and the scope of my position within CCHW. Informal leaders are perceived by their members as having higher leadership value than formal leaders, particularly in the areas of shared vision, communication, relationships, community, guidance and character and have established trust and confidence as authentic members of the team and whose shared vision is more likely based on shared values, needs, and beliefs (Pielstick, 2000). Chapter 1 acknowledged the authentic leadership style as the adopted leadership approach that will be used for planning and implementing the change initiative within CCHW to envision an

improved state and solve organizational problems. The following sections will discuss the principles and practices of emergent leadership focusing on the areas of organizational culture, team efficacy, and individual competence. The relationship and congruency between these three overlapping elements are foundational to propelling change forward at CCHW.

**Organizational culture.** Emergent leadership can be considered a direct result of the established distributed leadership style and culture adopted by CCHW. Higgs and Rowland's (2007) depiction of leadership approaches to change places CCHW at the emergence quadrant which emphasizes that change is complex, rather than straightforward, and locally dispersed, rather than centralized by a singular view from the top of a hierarchy (see Appendix C). Organizations that rely on small teams can benefit greatly from emergent leaders to have influence over their peers due to the credibility and respect they possess even without formal authority (Peters & O'Connor, 2001). A high-performing organizational culture is fostered through environments that incite collaboration. Stincelli and Baghurst (2014) report that an organizational culture that promotes the emergence of leadership from any member by providing opportunity and encouragement is "perceived to contribute to the ability of informal leadership to be effective" (p. 4). Similarly, Hill (2014) emphasizes the importance of organizational culture in supporting members to use their expertise, talents, and knowledge. Zhang, Waldman, and Wang (2012) propose that in such environments, emergent leaders arise and benefit from a strong relationship with the formal leader to access resources or information and gain awareness about the various skills, capabilities, and motivation of other members. Consequently, these insights stimulate the emergent leader to employ internal leadership activities through an authentic leadership approach, thereby receiving credit as an informal leader among their peers

(Northouse, 2016; Hill, 2004). An organization that recognizes the capacity of individuals to use these unique skills perpetuates the situational requirements necessary to affect other members.

**Team efficacy.** The positive effects of empowering emergent leaders permeate the rest of the team in a variety of ways. The combination of an individual's knowledge, skills, and abilities within a stimulating environment, often categorized as situational requirements, reportedly encourage collective action from other members (Schreiber & Carley, 2006). For this reason, Stincelli and Baghurst's (2014) study notes that informal leaders "[are] perceived to emerge throughout the organization and from anywhere within the informal network in order to meet the demands of a situation" (p. 6). Emergent leadership and authentic leadership both require a commitment to fostering constructive interpersonal relationships that affect efficacy at both team and individual levels. The research on leader-member exchange (LMX) theory finds that team shared vision promotes the emergence of informal leaders (Graen & Uhl-Bien, 1995; Zhang et al., 2012). Zhang et al., (2012) findings confirm emergent leadership is a precursor of both individual job performance and team-level performance (see Appendix D). Planning and developing the change initiative will demand a strong sense of interdependence to develop commitment with colleagues and leaders of the organization.

Emergent leaders are more likely than formal leaders to give recognition and build coalitions with others (Pielstick, 2000) that resemble an authentic leadership style. Wolff, Pescosolido, and Druskat (2002) emphasize specific knowledge, skills, and abilities that play a role in leadership emergence within self-managed teams. Emotional intelligence, and empathy specifically, is a foundational skill to the leadership cognitions and behaviours that support leadership emergence; speculating that "emergent leaders need to understand, coordinate, and motivate individual team members without the benefit of formal rewards or punishments" (Wolff



et al., 2002, p. 518). Supporting these findings, Pielstick's (2000) research concludes that informal leaders are more likely to build trust, set the example, guide by mentoring, and provide opportunities for peers to grow as compared to formal leaders in the study. Wolff et al., (2002) also note that perspective taking, supporting and developing others, and group task coordination "may also strengthen team member participation and engagement because they convey a sense of inclusion, support, and respect" (p. 520). These findings support the role of the emergent leader as important to improving task coordination, creating a sense of belonging, and motivating the ambition to change.

**Individual competence.** To appreciate the distinction between formal and informal leaders, it is important to note the differences in personal characteristics between the two. Pielstick's (2000) findings note informal leaders are more apt to be humble, fair, altruistic, more likely to have a sense of humour and encourage imagination and creativity; similar to the characteristics of an authentic leader (Northouse, 2016). Pielstick (2000) also reports that informal leaders display as open and flexible individuals who are personable and responsive, and more inclined to engage in reflexive practice. Similarly, Stincelli and Baghurst (2014) determine that daily interaction, trust, and being involved in the affairs of their peers are important determinants of emergent leaders. Paralleling the strong moral compass of authentic leaders (Northouse, 2016), emergent leaders tend to be more morally-centred, stressing honesty, integrity, and dignity in inspiring purpose and a shared vision for the common good (Pielstick, 2000). Stincelli and Baghurst's (2014) study indicates that workers' perspectives of qualities that portray informal leadership are confidence, communication, willingness, positive attitude, knowledge, and organization. Pielstick (2000) notes that informal leaders are more inclined to listen and seek to understand through interactive dialogue; using stories to inspire and motivate

in seeking a higher purpose in the interchange. The theme of open and honest communication is central to becoming and being positively regarded as an emergent leader.

### **Framework for Leading the Change Process**

The following section focuses on the process one can use to bring about change: the *how* of change. It is important to find a framework that is relevant to the nature of the PoP and my position in developing an OIP that addresses change based on organizational needs. A suitable framework allows for adequate preparation to study complex interactions, key factors, and assumptions of organizational change; as well as, deepen our understanding of reciprocal constructs that guide our research, implementation, and evaluation (Evans, Thornton, & Usinger, 2012). Cawsey et al., (2016) indicate that organizational change often requires changing at the individual, team, and organization level; therefore, it is recommended to frame and apply my tacit knowledge of CCHW within more than one change model to gain a wider toolkit for influencing change. AI and William Bridges' Transition Model are two change frameworks that will serve in leading the process of organizational change for the PoP in discussion.

**Appreciative Inquiry.** Cooperrider et al., (2008) frame that AI is built upon five theoretical principles that subsequently inform its application for organizational development: (a) the constructionist principle depicts organizations as living social constructions of sensemaking through relationships; (b) the principle of simultaneity places inquiry and change as occurring simultaneously; (c) the poetic principle frames organizations like an open book or story that is repeatedly being co-authored; (d) the anticipatory principle seeks to produce constructive organizational change through collective imagination and optimistic discussions about the future; and (e) the positive principle relates to the positive affect and social bonding that is required to build and sustain the momentum for change. By framing change through a *positive core*

(Cooperrider et al., 2008) AI aims to extend the capacity of organizations to achieve extraordinary results. To clarify, AI and positive change does not mean an organization is to be problem-free, but rather, it seeks to reframe problem analysis into solution analysis (see Appendix E).

Cooperrider et al., (2008) explain that organizational change or planning begins with, “Comprehensive inquiry, analysis and dialogue of an organization’s ‘positive core,’ involving multiple stakeholders, and then links to this knowledge to the organization’s strategic change agenda and priorities” (p. 27). The strength-based principles and positive core of AI allow an organization to use the 4-D Cycle to engage in the four key phases of an AI process by which to design an individualized organizational change plan to meet its needs (see Appendix F). The *Affirmative Topic Choice*, or PoP, is at the centre of the 4-D Cycle and is the starting point for setting an agenda for learning, knowledge sharing, and action. The 4-D Cycle is then applied based on the organizational social norms (Cooperrider & Whitney, 2007). At CCHW, the *Discovery*, *Dream*, *Design*, and *Destiny* phases could include informally interviewing colleagues, creating a shared team vision, co-constructing images of a preferred future, and building optimism for sustaining ongoing positive change and improved capacity.

**Bridges’ Transition Model.** Rooted in a subjective approach to social science, the model seeks to understand the person dealing with a change process and sees change as an external event made up of social constructs (Burrell & Morgan, 1979). The model also emphasizes characteristics of sociology concerned with regulation and order in its efforts to maintain stability, consensus, and unity for members involved in transitions (Burrell & Morgan, 1979). This model could be situated in an interpretivist paradigm, particularly through understanding experience using a humanistic view (Hartley, 2010; Scotland, 2012). Due to the

subjective realm of transitioning, “resonance phenomenon” (Nortier, 1995, p. 36) is the term used to describe how an individual will experience a present transition given their past experiences dealing with other transitions. To better appreciate the psychological process of transition, each member’s experience and point of view is interpreted through subjective interpretivism. Bridges’ Transition Model allows leaders to develop meaningful exchanges within the social organizational context where the change is taking place. Knowledge and reality are constructed through the interactions between humans and changes affecting their world, meaning that an individual’s interpretation and explanation of their experiences determines their actions, emotional well-being and performance (Henderson, 2016). Given the nature of our daily practice, the culture at CCHW is already founded on prompting open discussions about emotional hardships, staff validation and engagement, and employee resiliency strategies which coalesce well with Bridges’ Transition Model.

The fundamental assumptions about the nature of the social world in Bridges’ Transition Model is illustrated in its intimate concern with the psychological process of individuals as they experience change (Nortier, 1995). Change, as an external measure or situation, determines and affects the individual’s reactions (McLean, 2011). Nortier (1995) reiterates that change is often an external, quick, and identifiable marker in time, while transition is internal, understood through a longer period of time, and contains different kinds of impact on the individual. Bridges’ Transition Model is valid in recognizing the possible concerns regarding change for the teaching team in our day treatment program that can be addressed through effective team communication.

As an emergent leader activating an authentic leadership style, my role is to genuinely advocate for enhancing the leadership capacity of the teaching team utilizing social and

emotional drivers that are familiar within CCHW. This will require honest communication and feedback between the organization's leaders and my teaching team, emphasizing the change initiative as an improvement that will enhance the greater good. Both frameworks respect and give voice to the individual interpretations of people and their experiences, embrace psychological and emotional reactions as reality, and seek to handle change in meaningful and supportive ways. The structured framework of AI will be used to activate and develop the change implementation plan while Bridges' Transition Model will be used as a tool to monitor and evaluate the affective dimension of change of the change members.

### **Critical Organizational Analysis**

The following focuses on assessing the content of the change: the *what* of change. A substantial analysis of the organization includes an understanding of the organization's strategy, its fit within the changing environment, and an assessment of how the various elements of the organization also correspond with the strategy and environment (Cawsey & Deszca, 2007). A description of the required changes regarding the PoP in developing an OIP will be diagnosed and analyzed using Nadler and Tushman's Congruence Model (Nadler & Tushman, 1980). Required changes will be discussed by revisiting change readiness findings and relevant research.

**The Nadler-Tushman Congruence Model.** The Congruence Model was developed David A. Nadler and Michael L. Tushman in the early 1980s (Mind Tools, 2018). The Nadler-Tushman Congruence Model helps leaders to diagnose problematic organizational gaps and recognize required changes to these conflicts. Nadler and Tushman (1989) describe organizations as a complex system whose output is determined by: (a) the organizational strategy in the context of the environment, available resources, and history; and (b) the organization/strategy, comprised

of four elements to produce the desired output. As its name suggests, a team or organization can only succeed when the four elements all fit together, or are congruent: (a) the work or task; (b) the people who do it; (c) the organizational structure; and (d) the culture (Nadler & Tushman, 1980). In the event of incongruence, or a poor fit, within the four critical elements, conflicts will emerge (see Appendix H). The Nadler-Tushman Congruence Model assumes the greatest effectiveness of an organization is determined by congruency, or fit, between the interdependence of an organization's strategy with its environmental conditions, and its internal consistency among the four organizational elements (Nadler & Tushman, 1989; Nadler & Tushman, 1980). An organizational analysis of each element, the relationship between these elements, and a vision for building and sustaining congruency follows.

***Step one: analyze each element.*** The following analysis examines inputs, outputs, and the relationships between the four organizational elements.

***Inputs.*** Inputs are factors that can affect the organization and consist of environment, resources, history, and strategy. The first input of environmental demands placed on CCHW originate from the Ontario Ministry of Children and Youth Services, the Ontario Ministry of Education, affiliated District School Boards, and CMHO as it expects a required level of quality and marketable mental health treatment and educational programming for the students in care. These multiple institutions that govern CCHW also place environmental constraints as regulations of one institution may oppose or override the regulations of another. By the same token, the environmental institutions provide opportunities for CCHW to explore the PoP in an effort to improve the impact of day treatment services.

The second input as organizational resources are the assets available to an organization which include human resources, technology, capital, and information; as well as less tangible

resources, such as recognition in its sector (Nadler & Tushman, 1980). The greatest resources available to CCHW are its employees, their knowledge and expertise, and the positive perception of the organization within the wider community. These valuable resources are adaptable both internal and external to CCHW, but resources such as technology and capital are inadequate and fixed due to funding.

The third input, the organization's history, is defined as the patterns of previous organizational behavior, its activities, and organizational effectiveness that may affect current organizational functioning (Nadler & Tushman, 1980). As mentioned in Chapter 1, CCHW has existed in the non-profit sector serving children, youth and families for over 30 years. It has continuously revised its services, mandate, and policies to reflect the developments of its governing accreditors, the complex and diverse needs of its clientele, and the needs of its employees. It maintains a credible profile in the community of children and youth mental health and family therapy through professional development initiatives, seeking collaborative partnerships for best practices with other organizations, and maintaining its core values of service excellence and a client-centred, strengths-based approach.

The fourth and final input, strategy, is defined as, "The whole set of decisions that are made about how the organization will configure its resources against the demands, constraints, and opportunities of the environment within the context of its history" (Nadler & Tushman, 1980, p. 41). Organizational strategic analysis aims to examine the balance between the organization's resources to its environment, given its historical context. Ultimately, strategy determines the work to be achieved by the organization which defines the desired organizational outputs as revealed by the organization's core mission and purpose. Firstly, CCHW's mission statement is to improve the mental health of children, youth and families. Secondly, CCHW's

mission statement expresses that it accomplishes its goals by providing high-quality therapeutic and educational interventions in collaboration with families and community partners. Lastly, the current overall purpose is to provide intensive school-based therapeutic intervention, with an overall goal of stabilizing the presenting externalizing and explosive behaviours and re-integrating the child to the regular school system. It is apparent, however, that there is insufficiency in the organizational input of highlighting effective educational approaches for each student at the point of reintegration which affects the organization outputs beyond a student's care and treatment within CCHW.

*Outputs.* Outputs are defined as what the organization produces, its performance, and its efficacy at three distinct levels: (a) whole system or organizational level; (b) teams or sub-unit level; (c) and individual level (Wyman, 2003; Nadler & Tushman, 1980). At an organizational level, it appears that the day treatment services offered at CCHW remain a desirable alternative educational programming in the community. The waitlist for students and families to be served through the elementary day treatment classrooms at CCHW are approximately one year (Centre for Children's Health and Wellness Employee, 2018). The affiliated district school boards highly recommend the day treatment services at CCHW to parents whose child is exhibiting significant to complex mental health problems which impairs some or most areas of functioning. On the other hand, organizational efficacy in terms of transitional support for the student, family, and receiving school is limited due to resources – time, staffing, and funding. There is an opportunity to improve the impact of day treatment services beyond the enrollment of a student and through their transition to the mainstream school system. The elementary teaching team, as a sub-unit of the organization and its multidisciplinary team, and the individual-level outputs will be further analyzed in the next section.



*Four organizational elements.* The four organizational elements for organizational analysis of congruence are: (a) the work or task; (b) the people; (c) the structure; and (d) the culture (Nadler & Tushman, 1980). The element of work is defined as, “The basic or inherent work to be done by the organization and its subunits or the activity the organization is engaged in, particularly in light of its strategy” (Nadler & Tushman, 1980, p. 44). Formally, the primary task of the elementary teaching team is to create, implement, and assess individualized educational plans for their students. At a minimum, the teachers at CCHW must be members of the Ontario College of Teachers, have some experience in special education, and have the Additional Qualification of Special Education Part 1. The teachers are independently accountable to a host principal for formulating education plans and provincial report cards as outlined by the Ontario Ministry of Education. While not mandatory, it is highly recommended, and in the teacher’s best interest, to engage in the many professional development activities offered by CCHW about children’s mental health treatment best practices and crisis management techniques. As a member of a wider multidisciplinary treatment team during a student’s enrolment in day treatment, the teacher is expected to attend quarterly review meetings for their students, bi-weekly team meetings, monthly program meetings, and engage in information-sharing with multiple disciplines and families. In preparation for a student’s discharge, the teacher is to complete a standardized academic assessment as required, support the student in creating a student self-advocacy card, generate a strategy sharing plan for the receiving school, attend a re-entry planning meeting, and share contact information for future consultation with the receiving school. The work of the day treatment teaching team at CCHW is a combination of tasks mandated by our employer, some that are expected by the organization, some that are

unique to our role and responsibilities as educators, but all are components of our professional standards of practice.

Nadler and Tushman (1980) describe the analysis of the element of people as, “Identifying the nature and characteristics of the organization’s employees...the nature of individual knowledge and skills, the different needs or preferences that individuals have, the perceptions or expectancies that they develop, and other background factors” (p. 44). The teachers that perform the above tasks as educators in day treatment classrooms at CCHW have individual characteristics that can affect congruency. Of the four teachers in this analysis, three are Caucasian and one is of Hispanic heritage; three are in the 40-50 age range and one in the 30-40 age range; and three are female and one is male. The teachers’ certification and registration ranges from ten to eighteen years of activity, two holding master’s degrees, and all having at least one specialist additional qualification. Two of the teachers have taught at the organization for over ten years and two are in their fourth year at CCHW - all having had varying experience in special education prior to their current assignment.

The formal organization or structure is comprised of the systems and processes developed to support people to complete their tasks and coordinate their activities to achieve the organization’s goals (Nadler & Tushman, 1980; Wyman, 2003). The teaching team formally adheres to the guidelines for the approval and provision of CTCC Section 23 Programs supplied by The Ontario Ministry of Education, the directives imposed by the district school boards, and their representing teachers’ labour union federations and associations. Recently, a greater effort from the regional school board to support teachers in day treatment classrooms to access mainstream resources has immensely facilitated the embedding of appropriate technology in

teaching practices to promote pupil learning and achievement and improve teaching and assessment practices.

The informal organization or culture includes a series of implicit practices and processes that have developed over time that either aid or hinder performance (Nadler & Tushman, 1980). As discussed in Chapter 1, CCHW relies on its teams to provide effective programming through effective teamwork practices due to: (a) the flattened structure of the organizational leadership style; (b) the many professionals and various disciplines that collaborate on a student's treatment and education plan; and (c) the complex nature of our work. Most of these teamwork processes are unwritten, yet foster the organization's view of professional interdependence, mutual support and collaboration. The current success of the teaching team within a multidisciplinary setting can be attributed to a belief that organizational goals are achieved if all co-workers, regardless of discipline, have a desire to collaborate, agree to communicate openly and regularly, and can seek supervision and honest feedback through various non-traditional approaches.

***Step two: analyze the relationships between the elements.*** The concept of congruence is the basis for analysis of the relationships between the elements. Nadler and Tushman's (1980) congruence hypothesis stipulate that a higher degree of congruency or fit between the various elements indicates greater organizational efficacy. The four organizational elements discussed above will be analyzed for congruency and interrelatedness.

*Work and people.* A high congruence is noted between the work and people elements. The teachers at CCHW have the experience, skills, and dedication to special education required to meet the task demands in day treatment classrooms.

*Work and structure.* A moderate degree of congruence is detected between the work and formal structure. Some processes and structures are available to guide teachers in their formal

demands and responsibilities at CCHW. However, the nature of this complex teaching assignment creates some incongruence in some situations due the lack of accessible processes. Additionally, the nature of the work combined with the organizational arrangements are inadequate and prevent teachers from meeting the time demands of some of the required tasks.

*Structure and people.* A high degree of congruence is identified between the formal structure and the individual teacher. The organizational arrangements are based on flexibility which allow people to work together effectively by placing trust in the employees and allowing for professional independence. The flexibility available to the teaching team is clear to all team members.

*People and culture.* A very high degree of congruence is revealed between the teaching team and the informal structure of CCHW. The teachers are working within a culture that best suits their professional needs and personal characteristics. Many of the implicit practices allow for the collaboration and interdependence that is required to feel supported in providing individualized treatment and academic programming for our students. The culture consistently reinforces teachers to utilize and share their individual strengths, ambitions, talents, and creativity with the students, other staff members, the organization, and the community.

*Culture and work.* A very high degree of congruence is found between the informal structure and work. The complex demands of the tasks require a culture that is flexible, strengths-based, positive and understanding. The culture of CCHW is extremely responsive to the demands placed on the teaching team. On the one hand, it understands that the teacher is solely responsible for creating, implementing, and monitoring the individualized educational programming of its students. On the other hand, CCHW acknowledges that the teachers take on greater responsibilities within the treatment team to support organizational and mental health

treatment goals. As such, it offers teachers great trust in their professional knowledge and judgement which encourages work performance.

*Structure and culture.* A moderate degree of congruence is noted between the formal structure and culture elements. The formal structure at CCHW requires a certain degree of flexibility that is observed through its organizational culture. The organizational mission and value of intrinsic reward for teachers serving children and youth with mental health needs are congruent within the structure and culture. At the same time, the implicit practices of the culture of CCHW are so unique that it is difficult to articulate and help others in external environments interpret our culture.

*Step three: build and sustain congruence.* After examining each element and analyzing the relationship between these elements, one can pinpoint gaps between the desired and actual output. A major gap identified is the lack of organizational efficacy in terms of transitional support for the student, family, and receiving school as an output. Organizational level output through proper articulation of effective educational approaches for each student at the point of reintegration is inadequate. CCHW has an incongruency when its organizational outputs are examined beyond a student's care and treatment. Incongruencies within the four organizational elements are best addressed with strategies that "reflect the unique character of your team or organization, and the environment" (Mind Tools, 2018, para. 5). This supports the opportunity to extend the impact of day treatment services beyond the active enrollment of the student and into their transition to the mainstream school system. Furthermore, the organizational analysis indicates many areas of congruencies which are strengths that can be used to explore possible solutions to the PoP and encourage the teaching team to support the proposed changes.

**Gap analysis.** The nature of the PoP requires small changes within the internal structure of CCHW that will support the goals of the organization, signalling the type of changes are incremental (Nadler & Tushman, 1989). Additionally, reactive changes, as opposed to anticipatory changes, are changes that are made in response to an occurrence or event (Nadler & Tushman, 1989). Due to my tacit knowledge, I can attest that the required changes are reactive to the needs of our teaching team and the stakeholders in the external environment. These planned changes are in response to an ongoing need of community partners and stakeholders to understand best practices in day treatment classrooms, the reasons behind their efficacy, and how they can be reinforced in external environments. Nadler and Tushman (1989) categorize incremental changes initiated in response to external need as *adaptation* changes because it requires a response from the organization, but not a fundamental organizational shift.

In seeking to be a leading regional facility for children's mental health, CCHW upholds a culture of professionalism through effective communication. CCHW's culture and overall organizational vision promotes forward thinking, adaptability, and openness. Historically, when leaders of CCHW have proposed changes, staff members have been willing and active participants in previous change initiatives. The executive management team is interested in wider systemic interactions that promote systems thinking and a shared responsibility for the mental health of children and youth. This shared vision allows its employees to create spaces for interdependence and collaboration with multiple stakeholders.

The analysis conducted above using the Nadler-Tushman Congruence Model indicates a very high congruency in the relationships between people and culture, and culture and work elements. It also noted a high congruence in the relationships between work and people, and structure and people elements. This implies that the day treatment teaching team at CCHW has a

very strong grasp of the culture, individual characteristics of people, and tasks that are imperative in environments to support children with mental health needs. In contrast, moderate congruencies, signifying existing incongruencies, were evident in the relationships between work and structure, and structure and culture. This suggests that the day treatment teaching team requires a reconfiguration of its competencies in formal structures and tasks of the educational components. The possible solutions to address the PoP will include ways to solve the current incongruencies by increasing the capacities of the teaching team, as well as share its existing competences.

### **Possible Solutions to Address Problem of Practice**

The PoP specifically involves the elementary teaching team of the day treatment classrooms at CCHW. The goals of the PoP are: (a) to capture the distinct pedagogical interventions of our day treatment classrooms; (b) to increase teacher leadership capacity of day treatment services by enhancing communication and collaboration; and (c) to network with school-based and non-school based stakeholders to improve the impact of day treatment services. The following solutions are proposed leadership initiatives to increase teacher capacity in supporting the organization to enhance the effectiveness of the day treatment services:

- (1) Engaging the teaching team in a Professional Learning Community (PLC)
- (2) Creating and maintaining dedicated websites to build a Community of Practice (CoP)
- (3) Hosting an annual open house

**Possible solution one: engaging the teaching team.** In this solution, the emergent leader utilizes personal and authentic leadership qualities to engage the teaching team in establishing and joining an internal community for continuous inquiry and improvement through the development of a PLC. The literature on PLCs in education is vast, but for this solution, it is

meant as a professional community of teachers, "...in which the teachers in a school...continuously seek and share learning, and act on their learning. The goal of their actions is to enhance their effectiveness as professionals for the students' benefit" (Hord, 1997, p. 10).

The trustworthy and competent characteristics of the change leader serve to champion a solution that focuses on building the individual and collective capacity of the teaching team.

**Resources needed.** This solution is highly dependent on time and human resources. For the teaching team members to engage effectively in analyzing and responding to the identified issues, it will require time for members to meet, identify gaps and arrive at reasonable solutions. It will take additional time to develop, implement, and sustain any leadership initiatives. In using an emergent leadership approach, this solution is completely dependent on the four elementary teachers' participation in a PLC and their professional commitment to the exploration of effective teaching practices and leadership in day treatment. The organization's leaders and affiliated school boards would be involved but to a lesser extent, supporting the teaching team in discussions as required. To effectively engage the teaching team, the emergent leader must share information that creates a sense of urgency and positively empowers each member to choose to participate in discussions. Any information shared by each team member would be understood as subjective to their teaching expertise, given the classroom dynamics and learning profiles of the students. There are no financial or technological resources needed to engage the teaching team. Rewards for engagement are intrinsic to build personal and professional efficacy. The emergent leader could use existing technology to plan meetings, take notes, access data, and possibly prepare presentations.

**Benefits and limitations.** One benefit of establishing an internal PLC is that it is a simple starting point for initiating change and building internal capacity. Attracting members to examine



current successes and consider future possibilities is a solution-focused and less intrusive method of enacting change. AI and its strategies are congruent with the fundamental philosophies of the organization and the overall optimistic qualities of its members. Another benefit of this solution is that it is being initiated by an insider in an emergent leadership role and it does not require any major changes to the routine and structure of the organization. An additional benefit is that the characteristics of PLCs closely mirror the existing organizational structure and culture of the multidisciplinary team. The teaching team is already knowledgeable in having a shared vision, collaboration, and learning with colleagues. However, the establishment of a teacher-specific community for continuous inquiry and improvement may require a paradigm shift for both the teaching team and the multidisciplinary team. Hord (1997) notes, “many in the public and in the profession believe that the only legitimate use of a teacher's time is standing in front of the class, working directly with students” (p. 28). Clear communication with the organization and the wider multidisciplinary team will be important in advocating for the establishment of a PLC as a professional development tool for the teaching team. Another limitation is allocating and scheduling the time for all teachers to continuously meet and engage in the PLC. Yet another anticipated limitation is that this solution is based on member commitment and willingness to be active participants in the change. Kotter and Schlesinger (2008) note four common reasons that member resist change: (a) parochial self-interest and fear of loss; (b) misunderstanding of change effort and lack of trust; (c) different assessments of the situation; and (d) low tolerance for change. Due to any of the reasons listed, some members may not engage or withdraw from further responsibility in the change process beyond co-constructing leadership objectives.

**Possible solution two: creating and maintaining dedicated websites.** The second proposed solution is a leadership initiative that spreads internal learning to external

collaboration. The teaching team at CCHW would launch a website dedicated and accessible to all day treatment classroom teachers and the respective classroom Child and Youth Workers within the regional municipality. This outreach initiative extends the ideals of knowledge-building, multidisciplinary teams, shared responsibility, and partnership to the wider day treatment community to form a CoP. Wenger, McDermott, and Snyder (2002) describe CoP as “a group of people who share a concern, a set of problems, or a passion about a topic, and who deepen their knowledge and expertise by interacting on an ongoing basis” (p. 4). The dedicated website would be a source of knowledge-sharing, networking, and collaboration with a larger external group of complementary professionals with appropriate privacy and confidentiality parameters. It is a creative tool by which to engage all day treatment classroom staff throughout the region in an online CoP as it builds knowledge through exchange, facilitates access to pedagogy for the unique setting of day treatment classrooms, develops and connects members’ capabilities, and values tacit knowledge (Wegner & Snyder, 1999). Members could upload photos and program resources, blog anecdotes, share successes and expertise, and ask questions while maintaining a sense of belonging, passion, and commitment to student learning.

***Resources needed.*** The second solution requires substantial time, human, technological, and information resources. The time resources required for this solution could affect one, some or all teaching team members. The emergent leader would have to approach the affiliated school board contact to grant a website platform for this project. Any interested teaching team members of CCHW could support its design, advertisement, and maintenance. The human resources required could affect different teaching team members in varying degrees. In order to sustain this practice, members would have to be responsible for regularly responding in forums, answering questions, sharing resources and anecdotes, posting relevant information and ensuring that all

information meets privacy and confidentiality policies. The technological requirements for members to access and use this website is as simple as having existing internet connection and a computer. The initiation of this website, however, requires support from the affiliated school board and their IT department in arranging a dedicated website with members-only login for the appropriate followers. The creation of a dedicated website is a collaborative approach between individuals of various organizations with very similar objectives. Information about the website and its use could be shared by the emergent leader on behalf of CCHW; and similarly, any questions about the initiative could be forwarded to this one contact.

***Benefits and limitations.*** The benefits to creating a dedicated website as a CoP are summarized by Wegner et al., (2002) who emphasize that knowledge is social, individual, and dynamic. The website allows akin members to highlight the effective practices of their day treatment classrooms, contribute to teacher-led leadership initiatives for day treatment classrooms, regularly collaborate with the wider day treatment community, and gain a sense of belonging with community partners on an informal and volunteer basis. A limitation to this solution could be the extra time, human, technological, and information resources required. Another limitation may be a lack of interest from teaching team members at CCHW, or similarly a lack of response from other members at other day treatment organizations. Member followership and active contribution to the solution is vital to creating and sustaining a dedicated website as a solution to teacher collaboration. The solution requires that the behaviour of the leader and the leadership initiative are a source of satisfaction for the followers who seek affiliation within this unique teaching setting (Northouse, 2016).

**Possible solution three: hosting and annual open house.** The third proposed solution extends internal specialized knowledge and tacit knowledge of day treatment classrooms to a

broader community of stakeholders. It encourages collaborative responsibility and service excellence through the principles of community engagement. The Tamarack Institute for Community Engagement (2018) defines community engagement as, “the process by which citizens are engaged to work and learn together on behalf of their communities to create and realize bold visions for the future” (para. 1). The teaching team at CCHW would be responsible for hosting an annual open house for both school-based and non-school based stakeholders, strategically in the month of May. By May, the stakeholders of the receiving schools for students who will be discharged in June would be known and invited. The Tamarack Institute for Community Engagement (2018) compares and describes a variety of community engagement techniques based on a continuum of goals. Site visits and tours can be used to *inform* the wider community with the goal being, “to provide stakeholders with balanced and objective information to assist them in understanding the problem, alternatives[,] and solutions” (p. 2). Invitations would be extended to teachers, educational assistants, and administrators who will be receiving the student upon discharge from CCHW, staff from other day treatment organizations, and other stakeholders such as the Board of Directors, volunteers, and affiliated school board contacts. The open house would contain a presentation summarizing some success stories of the past school year, an informal walk-through of the building showcasing the children’s work, and an opportunity for day treatment teachers to further connect with receiving school staff about strategies that are successful for the reintegrating student thereby creating a sense of openness and transparency. The National Institutes of Health U.S. (2011) emphasize, “to achieve successful collaboration with a community, all parties involved need to strive to understand the point of view of ‘insiders,’ whether they are members of a neighborhood, religious institution, health practice, community organization, or public health agency” (p. 11). The solution focuses

on collaborative partnerships to promote positive transitions for day treatment students by openly featuring the organization, its day treatment classrooms, its focus on children's mental health and well-being, its unique pedagogical interventions, its staff and its successes on a yearly basis.

**Resources needed.** This solution is the most resource-intensive of the presented options. The open house would have to be scheduled during after-program hours to make staff available to prepare and host. Some financial resources would be required to purchase refreshments and snacks for the guests. Depending on the staff required to host such an event, the organization may have to pay agency staff overtime or give paid time off in lieu. As hosts, the teaching team would have to spend much time in planning for an open house event. This would include generating an invitation list in collaboration with the Executive Director and the Executive Assistant, managing the logistics of hosting for many attendees, enlisting and delegating tasks to the organization staff, and successfully representing the organization. Human resource requirements would be expansive to properly execute this solution. The teaching team would have to recruit and delegate many tasks to a variety of followers in order to successfully host an open house. Most technological resources required are already available within the organization. The teaching team will put together a visual presentation and make this accessible to its attendees. An open house date will have to be set with CCHW and the affiliated school boards to ensure maximum attendance. The organization will be given detailed information from the teaching team to approve the formal presentation, invite its staff to attend, assist in hosting the event, and budget accordingly for the required purchases.

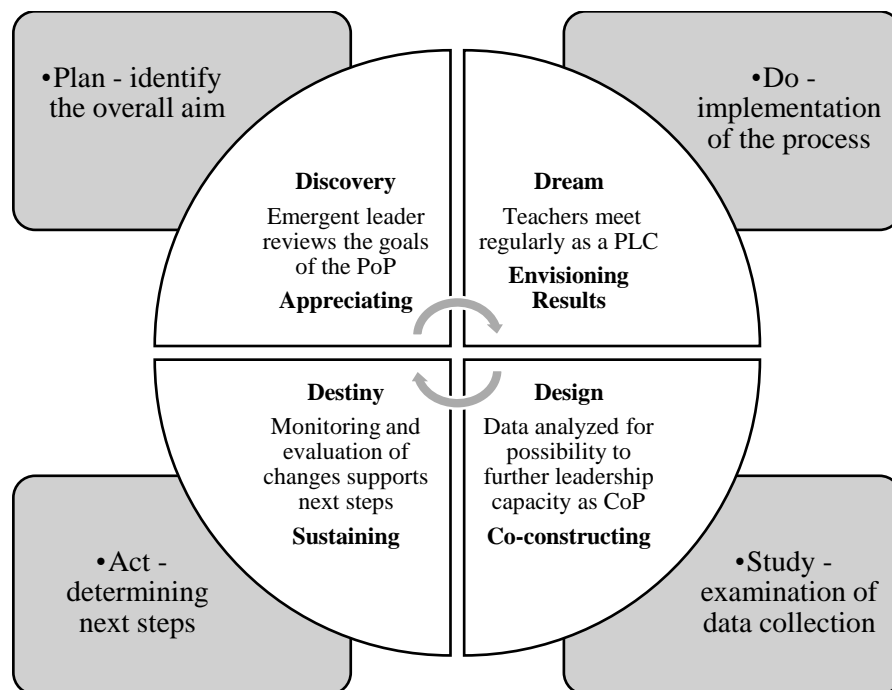
**Benefits and limitations.** Hosting an annual open house has several benefits to the PoP. Firstly, it enables the teaching team to lead an initiative exclusively about teaching within a children's mental health organization. Secondly, it allows the teaching team to reflect upon its

unique teaching practices and articulate these findings in a formal presentation. Thirdly, it opens the dialogue for understanding and appreciating specialized teaching practices for students with mental health needs. Those attending on behalf of the receiving school personnel have an opportunity to have a more personal discussion about the student transitioning to their classrooms from day treatment. Lastly, it offers the community an opportunity for a first-hand look at the learning environment for students in day treatment classrooms at CCHW. The solution focuses on, “community engagement grounded in the principles of community organization: fairness, justice, empowerment, participation, and self-determination” (National Institutes of Health U.S., 2011, p. 4). The limitation to this solution is that it requires extra time, human, and financial resources.

**Recommended solution.** In order to successfully meet the goals of the PoP, solution one and two will be used in combination. Initiating an internal PLC for the teaching team will require a shift in thinking and reflection about our teaching and learning. Stoll, Bolam, McMahon, Wallace, and Thomas’ (2006) literature review note five key characteristics of PLCs: (a) shared values and vision focus on student learning; (b) collective responsibility for student learning; (c) reflective professional inquiry; (d) collaboration and interdependence; and (d) collective, as well as individual, learning with colleagues. Considering the lack of on-site administration, the complex and varied needs of the students, and the minimal focus on academic programming from the organization, the focus on an internal PLC would allow the teaching team to prioritize discussions of professional inquiry, inspire a vision of enhancing the team’s leadership capacity, and collectively seek ways to raise the efficacy of day treatment services and student learning. To achieve enhancing the teaching team’s leadership capacity and improving networking and impact of day treatment services, the solution of introducing and maintaining a dedicated website

as a CoP will be proposed and collaboratively examined for its purpose, content, and task dissemination. The combination of both solutions is achievable given my emergent leadership role as the change driver and the current culture of communication, collaboration, and learning. The last solution focusing on community engagement can be revisited after implementation and evaluation of the PLC and CoP to analyze its feasibility in consultation with the formal leaders of CCHW.

**Plan, Do, Study, Act (PDSA) model cycle.** Shakman, Bailey, and Breslow (2017) review the Plan-Do-Study-Act (PDSA) model that allows for change ideas to be quickly tested on a small scale. A series of PDSA cycles throughout continuous improvement processes help determine specific problems, generate proposed solutions, collect data and evaluate effectiveness, and support decision-making. Multiple PDSA cycles “support the development, revision, and fine-tuning of a tool, process, or initiative” (Shakman, Bailey, & Breslow, 2017, p. 1). A preliminary PDSA cycle would prepare for an initial shift in thinking about professional learning and enhancing teachers’ leadership capacity in day treatment classrooms (see Figure 2).



*Figure 2.* PDSA cycle one – PDSA model cycle adapted from Shakman, Bailey, and Breslow (2017) embedded with Appreciative Inquiry and 4-D Cycle adapted from Cooperrider and Whitney (2007). By Silvia Robinson (2019).

Through the use of AI strategies, informal discussions would be held with the teaching team to: (a) *discover* and appreciate unique instructional practices that foster student success for students in our day treatment classrooms; (b) *dream* and envision our teaching team as leaders of the education program offered at CCHW; (c) *design* and co-construct a new shared team vision of leadership objectives; and (d) create a *destiny* of sustained leadership practices. In the *Plan* step, the emergent leader will identify the PoP, review the goals of the PoP, and present the proposed solutions to the teaching team. In the second step, *Do*, the teaching team implement the first solution by identifying and committing to meet as a PLC for a designated amount of time. For the *Study* step, data is analyzed, and members openly reflect on their observations of the change concept of raising the leadership capacity of day treatment teachers. In the *Act* step, members summarize the initial changes and decide if the possibility of continuing to raise leadership capacity through the development of CoP is desirable for continuous improvement.

### **Leadership Ethics and Organizational Change Issues**

The following section will reflect upon leadership ethics and challenges in relation to the change process by using Starratt's (1994) multidimensional ethical framework. Starratt (1994) suggests that ethical school systems use a synthesis of three ethics by which to sustain ethical educational environments: the ethic of critique, the ethic of justice, and the ethic of care. The ethical responsibilities of the researcher, the organization, and the multidisciplinary team will be discussed.



**Researcher ethics.** As both the scholar-practitioner for this OIP and a member of the teaching team of the organization in discussion, I have an ethical responsibility to the teaching profession, the professions of my colleagues, the organization, and the students and communities we serve. The Ontario College of Teachers' (2018) ethical standards for the teaching profession identify ethical commitments and guide educators in ethical decisions to continue to foster trust in the profession which include the ethical standards of care, respect, trust, and integrity. In reflecting upon the fusion between Starratt's (1994) multidimensional ethical framework and my profession's ethical standards, I am compelled to focus on the ethic of critique to reveal areas of my practice that are currently inadequate. Burnes' (2009) article warns that emergent change, characterized by continuous and open-ended processes of organizations adapting to changing environments, lacks a thorough understanding of on the issue of ethics. This is not to be confused with the emergent leadership approach used in this change process.

In seeking to improve the leadership practices of our teaching team through an emergent leader role, I am uncovering areas of communication and networking development to promote trust and respect in our profession within the organization, community partners, and stakeholders. This is not a discourse on power, politics, or oppression; rather, an expression of change as development and innovation to improve our overall service delivery. By remaining silent on areas that can be improved, we only risk perpetuating injustice and a lack of care. Kidder and Bracy (2001) define a leader's moral courage as, "the quality of mind and spirit that enables one to face up to ethical dilemmas and moral wrongdoings firmly and confidently, without flinching or retreating," (p. 5) and an individual's ethical actions to mean, "taking action that accords with the core values of honest, fairness, respect, responsibility, and compassion" (p. 6). The strengths-based, solution-focused approach, which the organizational culture openly

adopts, should ease any feelings of apprehension and foster appreciation for the proposed changes as a step towards improving our quality of service.

**Organizational ethics.** CCHW has a commitment to improve the mental health of children, youth and families with high-quality therapeutic and educational interventions. Starratt's (1994) ethics of justice "demands that the claims of the institution serve both the common good and the rights of the individuals in the school" (p. 51). The proposed changes aim to highlight the value of the educational component of the program, developed by the teaching team, which supports the students and their families. The organization will be addressed as a guiding partner in all areas of the change process. Starratt (1994) emphasizes that the ethics of justice integrates with the ethics of care to serve a higher purpose, stating, "such an ethic focuses on the demands of relationships among persons, not from a contractual or legalistic standpoint, but from a standpoint of absolute regard" (p. 52). As such, the organization has an ethical responsibility to the growth and development of its employees, including those seconded to the organization, in order to provide service excellence. The teaching team is comprised of a small group of teachers who oversee their own professional development and manage their own responsibilities. Kidder and Bracy (2001) note, "moral courage creates better cultures. The moral climate of any organization, larger than that of the individual, is created hour by hour through the multitudes of choices and behaviors of its members" (p. 12). In demonstrating an ethical commitment to justice and care of its teachers, the organization makes a powerful statement about its ethic of justice in allowing teachers to be leaders in their own capacity in seeking to improve our commitment to students and their learning.

**Multidisciplinary ethics.** The unique environment of day treatment classrooms means that teachers are in constant contact with various disciplines. The emphasis on supporting day

treatment teachers to create appropriate learning environments through interprofessional collaboration is outlined in the guidelines for the provision of CTCC education programs which specifies, “joint planning and multi-disciplinary teams should be used to develop education plans for each child or youth in an Education Program” (Ontario Ministry of Education, 2018, p. 7). The same document, however, indicates that “classroom teachers are the key educators for [the] child or youth’s literacy and numeracy development” (Ontario Ministry of Education, 2018, p. 9). The ethical dilemma at the heart of this PoP is that the academic programming of the student receives limited attention within the wider multidisciplinary team. Teachers must adhere to their professional responsibilities while also collaborating within a wider mental health team who maintain treatment goals a priority, unintentionally overriding the educational goals. Prilleltensky (2000) emphasizes, “professionals’ conceptions of ethics are framed within an evolving web so social relations [that] takes place within intersubjective spaces” (p. 140). In other words, while no individual or profession may be cognitively or actively competing against another, ethical issues emerge from the diversity of disciplines who have various goals and methods. Using Starratt’s (1994) ethics of critique offers the opportunity to scrutinize the current dominant frame and values of the existing inclination of our teamwork. By allowing the teachers to engage in leadership initiatives specific to teacher-related tasks and pedagogical practices, it aims to balance the academic priorities of education programs and the importance of the teacher’s knowledge and role within the multidisciplinary team.

**Chapter summary.** This chapter establishes emergent and authentic leadership as the necessary leadership approaches to change that are consistent with the elements of organizational culture, team efficacy, and individual competence. A critical organizational analysis is provided using the Nadler-Tushman Congruence Model to seek for both areas of change readiness and

organizational gaps that require consideration. The structured framework of AI is established as the choice framework for leading and developing the organizational change. Bridges' Transition Model is also discussed as a tool to be applied throughout the upcoming implementation phases of the change plan to monitor and evaluate the affective dimension of change of the change members. An evaluation of three possible solutions for the PoP are detailed and a recommended solution is described using an initial PDSA model cycle. The chapter concludes with an examination of the ethical considerations and challenges within the context of CCHW.

### **CHAPTER 3: IMPLEMENTATION, EVALUATION, AND COMMUNICATION**

The OIP seeks to raise the leadership capacity of teachers in day treatment classrooms at CCHW. The goals of the PoP are: (a) to capture the distinct pedagogical interventions of day treatment classrooms; (b) to increase teacher leadership capacity and impact of day treatment services by enhancing communication and collaboration; and (c) to network with school-based and non-school based stakeholders. Godkin (2010) suggests that “insight inertia” and “action inertia” within organizations are barriers to organizational change. Insight inertia occurs when organizational actors and management lack appropriate understanding and awareness of the environment in order to make required changes (Godkin, 2010). Action inertia, however, occurs when the response to such environmental awareness lags or is inadequate to propel positive changes (Godkin 2010). As such, the priority of the OIP is to initiate a leadership strategy that supports the teaching team at CCHW in increasing their professional capacity to enhance the impact of day treatment services. The proposed implementation plan will be discussed using AI and the 4-D Cycle as the framework for organizational change. Monitoring and evaluation tools are also explored in this chapter, specifically the application of the Bridges’ Transition Model, the DICE Framework, and the Risk Exposure Calculator throughout the implementation phases. A detailed plan for communicating the need for change and the change process will also be outlined. The chapter concludes with an analysis of next steps and future considerations for the proposed OIP.

#### **Change Implementation Plan**

As discussed in Chapter 2, solutions one and two will be used in combination to successfully meet the goals of the PoP. Solution one involves initiating an internal PLC consisting of the teaching team at CCHW to reflect on our unique pedagogical interventions and

areas of improvement. DuFour (2004) identifies three core principles that educational professionals must adhere to in order to successfully implement PLCs to improve school performance. The first principle of a PLC is having a focus on ensuring student learning through reflection on existing incongruencies and by responding in a timely manner with direct intervention (DuFour, 2004). The second principle is to truly embrace a culture of collaboration with teachers working together to evaluate and improve their classroom practice and seek ways to remove existing barriers to student learning (DuFour, 2004). The third principle is to prioritize a focus on results by relying on other teachers for comparison of data (DuFour, 2004). At CCHW, the teaching team members often focus on teaching rather than learning and must program, implement, and assess student learning in isolation. Therefore, the establishment of a formal PLC would greatly promote a collaboratively exploration into current effective practices and areas for further development focused on student academic achievement.

Solution two enhances the teaching team's leadership capacity for improved networking by introducing and maintaining a dedicated website to organize a CoP with other day treatment classroom teachers and support staff in the region. In contrast to a PLC which is focused on improving student learning, a CoP is defined as a group of people who share a common passion to learn to improve their performance through regular interaction (Wenger-Trayner & Wenger-Trayner, 2015). The CoP is distinguished by the characteristics of its members having a shared value of competence in a specific domain, building community through dedicated engagement and interaction, and sharing a repertoire of resources from their practice (Wenger-Trayner & Wenger-Trayner, 2015). Day treatment classrooms and the professionals who work in these unique settings have a specific knowledge-base that can be enhanced by increasing the capacity for collaborative learning.

**Appreciative Inquiry.** To honour the integrity of the high value placed on solution-focused approaches by the CCHW, the proposed implementation plan for organizational change draws on the affirming and empowering nature of Cooperrider et al., (2008) AI and the 4-D Cycle as the choice framework for implementing the change process (see Appendix F). Cooperrider et al. (2008) state, “AI is based on the simple assumption that every organization has something that works well, and these strengths can be the starting point for creating positive change” (p. 3). An implementation plan informed by AI begins with the change driver seeking the *positive core* of the organization which becomes foundational throughout the change process phases.

**Positive core.** The journey of AI begins and ends with a solid understanding of the organization’s positive core. In other words, AI seeks to value and enhance the factors, or essence, of that which gives life to an organization (Cooperrider & Srivastva, 1987). The positive core is what helps a change agent identify historical and/or current strengths of an organization and translate these strengths into possibilities for mobilizing change or a future desired state. Identifying the positive core “...is where the whole organization has an opportunity to value its history and embrace novelty in transitioning into positive possibilities” (Cooperrider et al., 2008, pg. 27). The positive core is both a driver for the inquiry at the beginning as well as recognized and expressed throughout the 4-D Cycle. In Chapter 2, the critical organizational analysis conducted using the Nadler-Tushman Congruence Model (Mind Tools, 2018) indicated a very high congruency in the relationships between people and culture, and culture and work elements. As such, the positive core that underpins the rest of the inquiry are the existing core competencies and distinctive practices of the teaching team within the culture of the wider

organizational team at CCHW. The AI process continues by developing an affirmative topic choice to lead the focus for the remainder of the inquiry.

*Affirmative topic choice.* An affirmative topic choice becomes the focus of the implementation plan using AI which focuses on organizational effectiveness. Cooperrider et al. (2008) emphasize that the affirmative topic choices be discovered with other members who have an interest in the organization and its future. This initial action plan for change is defined by Mintzberg and Westley (2001) as a thinking first strategy because it works best when the objective is clear, implementation of solutions are straight-forward, and the nature of change is incremental. The affirmative topic choice identification and selection process will occur with the four elementary day treatment classroom teachers at CCHW, as a core team, and other multidisciplinary members will be invited to bring their distinct perspectives and be active participants in this preliminary process. This topic selection team will meet over two pre-arranged times to attend a brief introduction to the initiative and engage in mini-interviews. Cooperrider et al. (2008) suggest dyads participate in open dialogue, using the four AI foundational questions:

1. What was a peak experience or “high point”?
2. What are the things valued most about ... Yourself? The nature of your work? Your organization?
3. What are the core factors that “give life” to organizing?
4. What are three wishes to heighten vitality and health? (p. 32)

Members then share their findings with the topic selection team, reconvene as a larger group, and examine common themes and/or patterns. My role as facilitator is to share insight and ideas



specifically related to raising the leadership and professional capacity of the teaching team in day treatment.

AI places high value in the word choice of the affirmative topic choice (Cooperrider et. al, 2018). As the scholar-practitioner generating this OIP, I already have a set of topic choices, purposefully written in affirmative terms that may prove useful to present to the topic selection team: (a) continuous professional development; and (b) leadership at every level. These two topic choices correlate with the current organizational culture of thinking in strengths-based and solution-focused terms and the organizational context of distributed leadership among a multidisciplinary team. Involving both the members of the core team who will lead the change and inviting other internal stakeholders ensures diverse representation, informed commitment, and rich dialogue of experiences and possibilities.

*Discovery: what gives life?* The positive core resurfaces in the discovery phase, activating the inquiry into identifying and appreciating present and past moments of organizational excellence (Cooperrider et. al, 2018). This phase seeks to uncover the unique structures and arrangements that allow for an organization to be most effective. At CCHW, the discovery phase would seek to understand the unique factors and instructional practices that foster student success for students in our day treatment classrooms. As the change agent, I collect data by coordinating interviews and leading discussions with the teaching team, or core AI team, that stimulate storytelling to "...identify, illuminate, and understand the distinctive strengths that lend the organization life and vitality when it is functioning at its best" (Cooperrider et al., 2008, p. 97). In using interviews as the qualitative method of data collection, the change agent mirrors the already established processes of interdependent communication, information-sharing, and mutual learning at CCHW. The important goal of this phase is to generate the teaching team's

excitement for their unique pedagogical values and practices, as well as promote future-focused thinking about upcoming possibilities for professional leadership as a PLC.

In a similar fashion, the core team will meet and discuss regularly to coordinate the next steps for reaching other day treatment classroom staff at other regional children's mental health organizations to develop a collaborative community of like-minded professionals; organizing to establish a CoP. Adhering to the AI key steps for data collection, the core team needs to identify stakeholders, craft an engaging appreciative question, develop the appreciative interview guide, collect and organize the data, decide how and when interviews will be conducted and who will execute them, effect interviews, and make sense of inquiry data. The benefits of extending the teaching team's leadership capacity by networking with other day treatment classroom employees is exemplified by the key characteristics of the appreciative interview which include: (a) assumption of health and vitality; (b) connection through empathy; (c) personal excitement, commitment, and caring; (d) intense focus through "third ear" and "third eye"; (e) generative questioning, cueing, and guiding; and (f) from monologue to dialogue (Cooperrider et al., 2008, p. 107). Building a CoP adds value to all organizational and social actors involved because they solve problems quickly, transfer best practices, and develop professional skills (Wenger & Snyder, 1999).

***Dream: what might be?*** The positive core is augmented throughout the dream phase as it creates a clear vision in relation to the discovered potential for the change plan and envisions a higher purpose for the organization, its services, and its members. This phase aims to envision our teaching team, the newly formed PLC, as leaders of the education program offered at CCHW and extending our leadership capacity for the development of a much-needed CoP. It important here to distinguish that a PLC defines the collaborative learning and leadership among the

internal teaching team at CCHW and a CoP expresses the extension of collaboration to other day treatment classroom educators and support staff in the region.

The qualitative design to data collection continues in this phase by engaging members in a collective process of sharing their stories of their historical relationship with the organization. Cooperrider et al. (2008) propose that the dream phase is, “practical in that it is grounded in the organization’s history and generative in that it seeks to expand the organization’s true potential” (p. 117), which helps determine a clear vision for change and imagine the future possibilities of a preferred future state. The first goal of the change leader is to facilitate conversations of members’ stories to promote energy and enthusiasm in capturing themes that bring out the positive core. This can be achieved through the AI technique of dream dialogues, a series of conversations about best hopes and wishes for an improved organization, which can be embedded into the appreciative interview process (Cooperrider et al., 2018). The second goal of the change leader is to allow members to recognize these common themes through mutual discovery of an organization that represents the hopes and wishes of its members.

To begin to establish the professional collaboration and networking goals of forming a CoP, the core team is responsible for initiating the inquiry with stakeholders of other day treatment classroom organizations. Member contact information could be attained from the principal of care and treatment programs for the region. An initial email would be sent to other day treatment classroom teachers, their respective day treatment classroom Child and Youth Workers and support staff, and the program managers with information on the project background and goals of the inquiry to prepare member for participation. A second email would include a set of appreciative interview questions, the contact information of the change leader, and a deadline for returning their input. Careful considerations will be given to the privacy and

confidentiality of the respondents, their voluntary participation in this data collection, and their right to withdraw at any time. These considerations will be expressed to the management team and written in the attached surveys and interview questionnaires to provide transparency of ethical obligations. In order to facilitate engagement and response rate, members would be instructed to submit individual or group answers to the interview questions.

Some examples of dream questions provided by Cooperrider et al. (2008) that have been adapted to this inquiry phase are: (1) Reflecting on the environment in which your organization works, what do you see as the two or three most significant trends emerging? How might they change the way you work? In your opinion, what are some of the most exciting prospective opportunities for your organization? and (2) Imagine that it is 2020 and your organization has just won an award for outstanding children's mental health organization of the year. What are students, families, and employees saying about your organization as the award is presented? What was done to win this award?

The core team would meet to analyze the data for common themes, summarize these themes using affirmative word choices, and report the results back to all members. In this manner, those who did not choose to participate in the appreciative interviews via email continue to receive information about the project which may capture their interest for involvement in the future. The dream phase articulates a powerful vision of teacher-led leadership with a strategic focus for change in enhancing collaboration and networking which helps create an ideal organizational architecture for communicating and sharing day treatment classroom practices. As change leader, I would maintain fidelity to AI by validating any possible negative feedback from members by labeling the issue, diagnosing the underlying problem, and seeking to present a solution.

**Design: how can it be?** The positive core is woven into the design phase as the core team co-constructs a new shared team vision of leadership objectives. This phase requires more extensive and interactive dialogue about how the organizational structure and processes can make the vision become a reality. The design phase has four steps which include: (a) selecting design elements; (b) identifying internal and external relationships; (c) identifying themes and engaging in dialogue; (d) and writing provocative propositions (Cooperrider et al., 2008). Some design elements for this change plan, as exhibited by Cooperrider et al. (2008), are: alliances and partnerships, leadership, and competencies (see Figure 3). The choice of these design elements leads to questions for collaborative exploration such as: (1) How do alliances and partnerships best support our work and our students? (2) What kind of leadership do we want for this project? and (3) What are the core competencies of teaching and working in day treatment classrooms that we want to continue to grow and expand? The second step allows members to list key relationships, both internal and external, that build and maintain the positive core (see Figure 3).

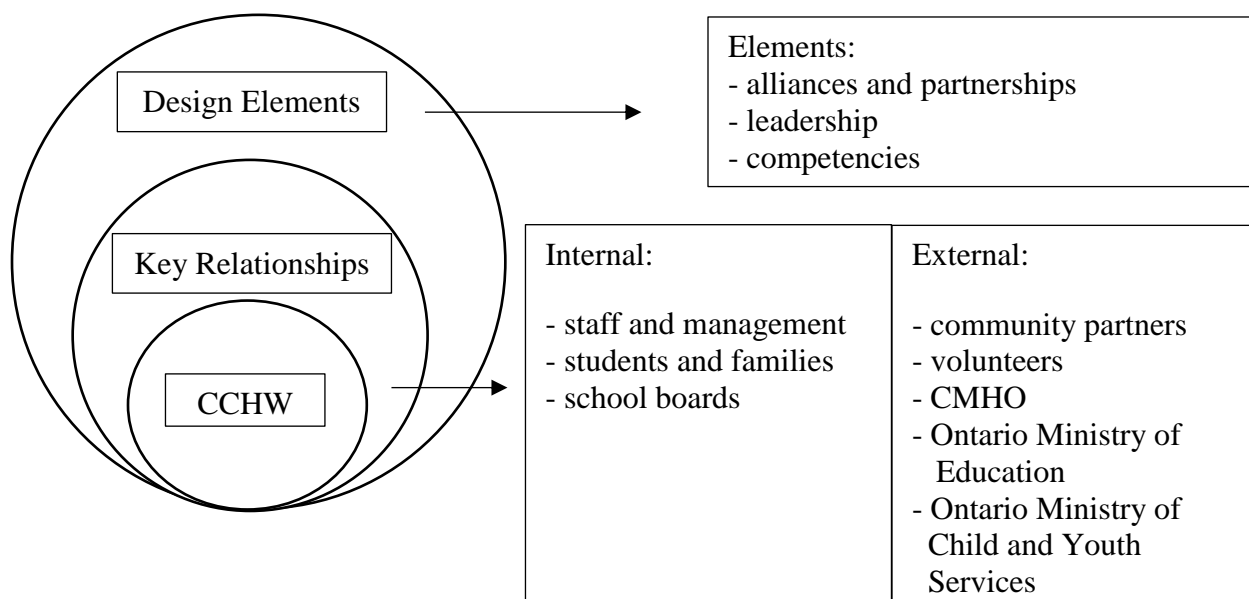


Figure 3. Possible *Design* phase for change implementation plan. By Silvia Robinson (2019).

The third step is to review the AI analysis report and interview responses for key themes that support professional leadership, collaboration, and networking. The core team then carefully captures the essence of these themes using affirmative word choices. The fourth step is to write the co-constructed vision of a new organizational social architecture by creating provocative propositions, which bridge the findings from both the discovery and dream phases.

Cooperrider et al. (2008) define provocative propositions or possibility statements as, “a statement of the ideal organization as it relates to some important aspect or element of organizing: leadership, decision making, communication or customer service, and so on” (p. 37). For this OIP, the ideal organization or organizational social structure is defined by how members of this CoP would like to organize itself to optimize teacher leadership capacity in day treatment classrooms and in which ways networking around best pedagogical practices can be achieved. Each member of the core team would use the findings of the inquiry thus far to write one to two possibility statements, share with the core team, and decide on concise wording to articulate the desired organizational qualities and processes that will guide its members to their ultimate purpose. The final draft of possibility statements will be shared with all teachers and day treatment classroom support staff.

***Destiny: what will be?*** The positive core is applied throughout the destiny phase by effectively actualizing the future state through innovative ways of creating and sustaining that future. The combination of the previous phases in the 4-D cycle combine to deliver new images of the future state of improved teacher leadership practices and organizational networking and are “sustained by nurturing a collective sense of purpose and movement” (Cooperrider et al., 2008, p. 38). This phase is a time of continuous learning and adjustment filled with momentum for creative implementation. The goal of the core team is to publicly announce the intended

actions and ask for support from the wider organizational team. The teaching team at CCHW will host a meeting with those who were contacted via email at the dream phase. The inquiry goals will be reviewed, overarching appreciative interview themes shared, possibility statements confirmed, and the unveiling of a CoP as a dedicated website for members revealed. Ongoing dialogue and participation among passionate members will be required to sustain the changes ahead.

Utilizing the newly created social architecture of the CoP, members may decide to take on roles and responsibilities to maintain the website and/or spread AI competencies throughout their classrooms and organizations by sharing our possibility statements. The sustainability of the CoP project is possible through continuous dialogue among its members to improve or change a current state through AI; the 4-D cycle can be re-applied to new additional areas of growth or affirmative topic choice that affect teachers in day treatment classrooms and positively contribute to the pedagogical interventions for our students.

**Limitations of AI and the 4-D Cycle.** It is important to note some of the limitations of AI as a framework for implementing the proposed change plan. One limitation of AI is the over-emphasis on the assets of an organization, its members, or its work. By prioritizing a focus on solely seeking strengths, change initiatives run the risk of ignoring known organizational difficulties or problematic conditions that require critical evaluation and transformation (Rogers & Fraser, 2003; Shuayb, Sharp, Judkins, & Hetherington, 2009). Bushe (2011) suggests, “transformational change will not occur from AI unless it addresses problems of real concern to organizational members,” and therefore AI is, “not suitable for research into problematic social phenomena” (Shuayb et al., 2009, p. 1). Furthermore, Grant and Humphries (2006) criticize the scope of AI as a change framework by stating, “transformation may be limited to the

enhancement of organizational practices which may not necessarily be contributing to human emancipation or justice” (p. 406).

Other limitations include the high concentration of subjectivity in AI, its methods, and methodology. Critics of AI indicate issues of limiting participants’ outlooks based on positive versus negative experiences (Rogers & Fraser, 2003; Bushe, 2011); issues of power and ethics related to the perceived competence of the change initiator and their influence on the participants and process (Bushe, 2011); and issues pertaining to the lack of evidence-based longitudinal studies of AI and comprehensive implementation of AI for organizational development (Shuayb et al., 2009; Bushe, 2011). Nevertheless, the applicability of AI and the 4-D Cycle for this OIP is appropriate due to established optimism at CCHW. The nature of the PoP, the organization, and its members seek improvement through encouraging and supportive initiatives.

### **Change Process Monitoring and Evaluation**

Change initiatives require measurement and control systems to provide the change leader with continuous focus of the change plan, assistance in monitoring the implementation phases, and managing the state of the organization and its members (Cawsey et al., 2016). Monitoring and evaluation tools are necessary from the start of the change initiative through to the end of the change process and measurement indicators must be chosen according to the context of the change plan. Cawsey et al. (2016) suggest choosing more precise, explicit, goal-focused measures given that the goals of this PoP and the nature of the OIP are low in complexity and ambiguity and the predicted time to completion is short. Simons (1995) defines four levers of control that serve different purposes, dependent on the stage of change process, that require careful consideration while implementing change: (a) *interactive control systems* pertains to the existing organizational context; (b) *boundary systems* relates to the rules and limits of the



organization; (c) *beliefs system* deals with the organizational culture; and (d) *diagnostic control systems* refers to critical performance variables and milestones. The first three systems are most important in the beginning of implementation and have been thoroughly assessed through the application of the Nadler-Tushman Congruence Model as discussed earlier in Chapter 2.

**Bridges' Transition Model.** As an emergent leader developing an OIP to raise the leadership capacity and network capabilities of the elementary day treatment teaching team at CCHW, it is extremely important to monitor how the change plan will affect enlisted members. The change leader, its members, and the organization will experience emotions and psychological shifts that must be validated if changes are to be nurtured and internalized (Bridges, 1986). Bridges' Transition Model is a proposed tool to initiate an investigation into recognizing the possible concerns of the teaching team members as they transition into and through change initiative. The three main steps in the transition model are: (a) ending, losing and letting go; (b) the neutral zone; and (c) the new beginning (William Bridges Associates, 2017).

***Ending, losing and letting go.*** In the first phase, ending, losing and letting go, an informal meeting will be held to engage the teaching team members in an open discussion to recognize what they will be losing as a result of the change initiative and how these losses will be managed. William Bridges Associates (2017) suggests explicitly discussing three questions: (a) What is changing?; (b) What will actually be different because of the change?; and (c) Who's going to lose what?. This initial discussion will be part of enacting the Plan step of the PDSA model cycle where the emergent leader identifies the PoP, reviews the goals of the PoP, and presents the proposed solutions to the teaching team. This critical first step asserts both the validity of the problem and the prospect of possibilities for the solicited members.

***The neutral zone.*** The second phase, the neutral zone, is concerned with the psychological shifts in members as they actively transition between the conventional way of doing things and the new attempts in implementing change (William Bridges Associates, 2017). The focus for the change leader here is to continue to validate members' emotions by identifying that "this zone exists and that it has a constructive function in the transition process" (Bridges, 1986, p. 29). This second phase parallels the *Do* and *Study* step in the PDSA model cycle. In the *Do* step, the teaching team will implement the first solution by identifying and committing to meet as a PLC for a designated amount of time. For the *Study* step, data is analyzed, and members openly reflect on their observations of the change concept of raising the leadership capacity of day treatment teachers.

***The new beginning.*** The final phase of transitioning, the New Beginning, is characterized by the new understandings, values, and attitudes that stimulate "...a release of energy in a new direction" (William Bridges Associates, 2017, para. 4). This phase aligns well with the *Act* step in the PDSA model cycle as members summarize the initial changes and decide if the possibility of continuing to raise leadership capacity through the development of a CoP is desirable for continuous improvement. Wenger et al. (2002) describe CoP as "a group of people who share a concern, a set of problems, or a passion about a topic, and who deepen their knowledge and expertise by interacting on an ongoing basis" (p. 4). The momentum gathered by engaging in a PDSA model cycle with the teaching team at CCHW will support the leadership change initiative to create a dedicated website as a tool to engage all day treatment classroom staff throughout the region in an online CoP as it builds knowledge through exchange, facilitates access to pedagogy for the unique setting of day treatment classrooms, develops and connects members' capabilities, and values tacit knowledge (Wegner & Snyder, 1999).

**Tools to track change implementation plan.** The following section identifies two tools, the DICE Framework and the Risk Exposure Calculator, which can be used at various stages of a change initiative to measure risk and predict success of an implementation plan (Cawsey et al., 2016). The models are easily applicable by the change initiator provided that they have a solid understanding of the organizational context, the desired change plan, and a realistic appreciation of how the change will impact others. Both models are applied hypothetically using a current personal assessment of the organization, change driver, and member readiness for the change implementation plan. It is important here to note that the following tools were completed utilizing professional judgement and personal knowledge as an emergent leader. The following are interpretations of the probable results and are for demonstration purposes only as reliability and validity has not been measured.

**The DICE framework.** The DICE (*Duration, Integrity, Commitment is a two-stage measure, Effort*) framework created by Sirkin, Keenan, and Jackson (2005) is a useful model for assessing, managing, and predicting the success of a change initiative during the planning and deployment phases (see Appendix I). The *Duration* index measures how frequently the change plan is formally reviewed which highlights the importance of providing regular guidance and feedback. The proposed change implementation plan based on AI requires regular meetings and formal reviews which gives this index a score of 1. The *Integrity* gauge evaluates the change leader's skill and credibility, as well as the motivation and focus of the core team implementing the change. A score of 1 is applied to this gauge because the change leader is skilled and has the respect of its core team, and the core team have the skills and motivation to implement the change in a timely manner. The *Commitment is a two-stage measure* assesses the commitment of management and the commitment of the employees. The distributed leadership style and

flattened structure of CCHW reinforce trust in staff to lead change, but their lack of knowledge on the importance of the change initiative keeps them neutral, thus scoring a 2 when measuring *the commitment of senior management*. During the initial phase of implementation, the members of the core team may be supportive, but not yet too enthusiastic about the commitment, thus scoring a 2 in measuring *local level commitment*. The *Effort* indicator weighs the amount of increased effort that members will have to make to implement the change. The proposed change plan and solutions to the OIP are incremental and will require less than 10% of extra work by the core team, scoring a 1 on this indicator.

The overall DICE score = Duration + (Integrity x 2) + (Management Commitment x 2) + Member Commitment + Effort (Sirkin, Keenan, & Jackson, 2005). The *Integrity* and *Management Commitment* scores are weighed heavier because these indicators are more significantly correlated with risk of successful change implementation (Sirkin, Keenan, & Jackson, 2005). The remaining scores are added together for a final score: 7-14 indicates a great potential of success, 15-17 identifies a worry zone, and 17 + indicates an extremely risky change plan that is highly unlikely to succeed. The calculations using the DICE framework place the proposed change plan at 10 points, indicating a high probability of success as illustrated in Table 1.

Table 1

*Summary of Hypothetical Application of DICE Framework*

Index Measure	Response	Score Calculation
Duration	Time between project reviews is less than 2 months	1 point

Integrity	Leader is respected, team is capable and motivated, and members have sufficient time to commit to the project	1 point (x 2)
Management Commitment	Management appears neutral	2 points (x 2)
Local Level Commitment	If they are willing but not overly keen	2 points
Effort	If incremental effort is less than 10%	1 point
Overall DICE score		10 points

*Note.* Table 1 illustrates a summary of a hypothetical application of the DICE Framework (Sirkin, Keenan, and Jackson, 2005) to the initial phase of the change implementation plan. Adapted from Sirkin, H. L., Keenan, P., & Jackson, A. (2005). The hard side of change management. *Harvard Business Review*, 83(10), 108–118. By Silvia Robinson (2019).

The results of the DICE framework inform the change leader of indicators that can be refined to ensure successful implementation. The highest scores were applied to the *Integrity* and *Management Commitment* factors and solutions can be applied to simultaneously decrease these risk areas. The *Integrity* gauge immediately reveals that time is a risk factor that requires improvement within the implementation plan. Lowering risk in the *Integrity* index can be achieved by enlisting, more explicitly, the support of management. Initiating a discussion with the management team to formally inform them of the goals of the PoP may raise their level of understanding and active commitment to the importance the proposed solutions as described in this OIP. Similarly, the discussion may include solutions to improve the *Integrity* scale in allocating the core team time to dedicate to the change plan.

**Risk exposure calculator.** A second measurement tool, the risk exposure calculator developed by Simons (1999), can be used further along the implementation process (see

Appendix J). The tool is most suitable for two reasons and is different than the DICE Framework because it focuses on internal risks that can be managed rather than external environmental risks that are beyond the scope of this OIP. Secondly, it can be applied to assess the risk exposure during the middle stages of a change initiative. The risk exposure calculator measures risk in three sets risk drivers (Simons, 1999). *Change pressure* risk drivers include the change leader being under significant pressure of production, high level of ambiguity, and staff inexperienced in change. *Change culture* risk drivers consist of a forceful risk-taking culture, management resistant to bad news, and internal competition. *Information management* risk drivers involve complex and rapid change situations, gaps in diagnostic change measures, and decentralized decision-making.

Using the criteria developed by Simons (1999), an overall score between 9-20 indicates the change plan is in the safety zone, 21-34 depicts a cautionary zone, and 35-45 implies a danger zone. The expected *change pressure*, *change culture*, and *information management* scores are 6, 5, and 6 respectively and total 17 points signalling the change implementation plan is within a safety zone of risk exposure as illustrated in Table 2.

Table 2

*Summary of Hypothetical Application of Risk Exposure Calculator*

Risk Driver		Scoring Criteria		Score
Change Pressure	Pressure to produce	Level of ambiguity	Experience with change	6/15
	Low                  High 1   2   3   4   5 Score: <b>2</b>	Low                  High 1   2   3   4   5 Score: <b>2</b>	High*                  Low 1   2   3   4   5 Score: <b>2</b> *Note: High and Low anchors are reversed for this item.	
Change Culture	Degree to which individuals are rewarded for risk taking	Degree to which executives	Level of internal competition	5/15
			Low                  High 1   2   3   4   5	

	Low 1 2 3 Score: <b>3</b>	High 4 5	resist hearing bad news Low High 1 2 3 4 5 Score: <b>1</b>	Score: <b>1</b>	
Information Situation	Degree to which situation is complex and fast changing Low 1 2 3 Score: <b>1</b>	High 4 5	Level of gaps that exist in diagnostic measures Low High 1 2 3 4 5 Score: <b>1</b>	Degree to which change decision making is decentralized Low 1 2 3 Score: <b>4</b>	High 4 5 6/15

Overall Risk Exposure Calculator total indicates change plan is in the safety zone

17 points

*Note.* Summary of hypothetical application of the Risk Exposure Calculator to the initial phase of the change implementation plan. Adapted from Simon, R. (1999). How risky is your company? *Harvard Business Review*, 77(3), 85-94. By Silvia Robinson (2019).

The highest scores were allocated in two specific areas: (a) the degree to which individuals are rewarded for risk taking, and (b) degree to which change decision making is decentralized. The first area provides the change leader with insight into the lack of tangible rewards for member involvement in the change process. However, this can be combatted by appealing to intrinsic rewards of members being involved in a professional leadership initiative, enhancing the capacity of the teaching team and the organization, creating alliances of like-minded individuals, and ultimately seeking to improve student learning through professional development. The second area of highest risk denotes the need to enlist middle and top management, as well as the wider multidisciplinary team in acknowledging and supporting the change plan. As the change implementation plan progresses, these organizational members will be made aware of the change plan, further ensuring acceptance and encouragement for the change initiative.

### **Plan to Communicate the Need for Change and the Change Process**

Effective communication is vital to a successful change plan implementation (Cawsey et al., 2016). The main objective is to inform and engage members of the organization in moving towards a common goal. A good communication plan begins with activating a mindset of support for the change and ends with sustaining energy and dedication for the change initiative (Cawsey et al., 2016). Cawsey et al. (2016) indicate four major goals in developing a communication plan for change: (1) to create a sense of urgency for change throughout the organization; (2) to allow members to understand the individual impacts the change will have upon them; (3) to inform of any structural or job changes that will effect task processes; and (4) to keep members informed about the progress of the implementation. Precise and on-going communication plans throughout various change implementation phases promotes a more effective change process.

Achieving the communication plan goals indicated by Cawsey et al. (2016) also require consideration of the phases of a communication plan. Klein (1996) identifies that a communication plan has four phases: (a) prechange phase; (b) developing the need for change phase; (c) midstream change phase; and (d) confirming the change phase. By focusing on strategic and detailed communication efforts in each phase, the change driver ensures that support for the change initiative is observed from beginning to end and ensures the above indicated goals are attained. The prechange phase allows the change agent to create a sense of urgency for the desired change. In the developing the need for change phase, the change leader advises members of the upcoming impacts of the change. The midstream change phase emphasizes communication about structural changes. The confirming the change phase links the goal of continuous informative communication about the progress of the implementation plan.



Table 3 summarizes a plan for communicating the need for change and the change process based on the major goals on the purpose of communication plans, its four phases, and the connections to the AI and the 4-D Cycle.

Table 3

*Communication Plan Goals and Phases: Connections to AI and 4-D Cycle*

Communication Plan				
Goals	Phases	AI and 4-D Cycle Phases	Communication Methods	Individuals Involved
To create a sense of urgency	Prechange Phase	Positive Core	- Face-to-face - Line authority - Immediate supervisor	- Change leader - CCHW senior management team
To allow members to understand individual impacts	Developing the Need for Change Phase	Affirmative Topic Choice  Discovery Phase	- Face-to-face - Emails - Message redundancy - Opinion leader - Personally relevant information	- Day treatment manager - Core team
To inform of any structural or job changes	Midstream Change Phase	Dream Phase  Design Phase	- Email - Face-to-face - Message redundancy - Personally relevant information	- CCHW senior management team - Core team - Other day treatment classroom members
To keep members informed about the progress of the implementation	Confirming the Change Phase	Destiny Phase	- Email - Message redundancy - Personally relevant information - Opinion leader	- CCHW senior management team - Core team - Other day treatment classroom members - Organizations offering day treatment services

*Note.* Communication plan goals from Cawsey, Deszca, and Ingols' (2016) and communication plan phases and communication methods from Klein (1996) combined with Cooperrider, Whitney, and Stavros' (2008) AI and 4-D Cycle phases. By Silvia Robinson (2019).

**Prechange phase.** In the prechange phase, my goal as emergent leader and change agent will be to communicate to management that change is urgently needed. The goals of the PoP will be exposed to the day treatment manager, clinical director, and executive director of CCHW, as well as to the principal of care and treatment programs. Dutton, Ashford, O’Neill, and Lawrence (2001) assert that using an *issue-selling perspective* as a means of gaining management’s attention, specifically in this prechange phase, “Draw[ing] attention to the often-unnoticed acts of change agents, below or outside organization’s top management groups...[and] frames people outside the top management team as potentially potent initiators of change” (p. 717). These four individuals are purposely chosen for their influence in supporting and authority to approve the change plan for enhancing teacher leadership capacity at CCHW. Klein (1996) emphasizes that face-to-face meetings are the most productive mediums of communication because “it provides the communicator with an opportunity to capitalize on the different perspectives and interpretations that are likely to result from a complex message in terms of providing explanations and clarifications relevant to likely variations of understanding” (p. 35). A face-to-face meeting would be scheduled at CCHW to include these four individuals and the change leader to engage in two-way discussion about the goals PoP and the proposed OIP, thereby increasing the contribution of all parties and decreasing the likelihood of misinterpretation.

A key topic presented in this meeting will be the positive core that underpins the change initiative and will be defined as the existing strength of core competencies and distinctive practices of the teaching team at CCHW. The prechange phase may only require one meeting as the proposed change is incremental, rather than revolutionary (Dutton, Ashford, O’Neill, & Lawrence, 2001). Further supporting the success of this meeting is that these key management-level individuals are intimately knowledgeable of the organization’s existing culture of

collaborative professional development and have historically been receptive to innovation that supports maintaining or enhancing service excellence which correlate directly with the PoP.

Communication with management beyond this initial meeting will occur at intervals via email throughout the change implementation process to provide periodic information about milestones and next steps.

**Developing the need for the change phase.** In this second phase of the communication plan, my role as change leader is to effectively engage the teaching team members by preparing them for the upcoming change. An effective communication plan at this phase must carefully consider the possibility of initial resistance from its members (Klein, 1996). This requires a multifaceted plan of communication that includes an explanation for the need to change, justifying the goals of the PoP, clarifying the steps of the change initiative, reassuring the members of their capacity, and validating their emotions. Klein (1996) suggests using the immediate supervisor as the initial key communicator of change:

Line management, because it carries more organizational muscle than staff positions, also has a greater communications impact. We also know that the credibility of a message is directly related to the status of the source of that message and higher status is normally accorded to the line hierarchy. (p. 35)

The day treatment manager would be enlisted to make the initial announcement of the impending change initiative at a chosen monthly program meeting where all multidisciplinary team members are present. This initial message should indicate the approval of the management team in supporting a teacher-led leadership initiative to enhance the educational programming of students in day treatment classrooms, as well as communicating an explicit need for participation and involvement from the teaching team members.

A face-to-face meeting will be arranged with the three elementary day treatment teachers at CCHW and myself as change leader within a week of the day treatment manager's announcement of the change initiative to create awareness of the urgency of change by explaining the objectives of the PoP. Cawsey et al. (2016) report that members' perception of change is reliant on their assessment of the status quo. In other words, "if they see themselves *and* the organization benefitting from the change they are more likely to embrace the change. If they see themselves as involved and participating in the initiative, they are more likely to be supportive" (Cawsey et al., 2016, p. 222). Although the anticipated level of resistance from the teaching team members is low, an approach to manage the reactions to change and influence collaboration during this phase is through education and communication (Kotter & Shlesinger, 2008). In order to maintain fidelity with AI and the 4-D Cycle, an introduction of our positive core and a guided discussion to unearth an appropriate affirmative topic choice would be used to introduce the teaching team members to the change initiative and its goals. To gain optimal involvement from these members, it will be important to explicitly recognize that we hold a vast amount of expertise in effective pedagogical interventions for students in day treatment programs and that there is currently a lack of awareness of these approaches throughout the organization and the wider multidisciplinary team. The overall objective in this initial meeting is to explain the need for change, provide a rationale for the change initiative, and reassure members of the advantages of their participation for the teaching team, the students, and the organization (Klein, 1996). Meeting minutes will be drafted and emailed to the teaching team to further support the communication strategy.

Klein (1996) suggests that a successful communication strategy is supported by the principles of message redundancy, face-to-face communication, recruiting opinion leaders, and

personally relevant information. As such, a second face-to-face meeting will be arranged within a week of the initial meeting with the teaching team members to continue to gain momentum for change. The objective of this meeting is to further introduce the core team, comprised of the day treatment classroom teachers at CCHW, to the change initiative and clarify the steps in the change process. The application of AI and 4-D Cycle continues by leading in this meeting into the *discovery* phase and generating the teaching team's excitement for its unique pedagogical values and practices, the need to collaborate as a PLC within the organization, as well as promote future-focused thinking about upcoming possibilities for professional leadership as a PLC. As an informal change agent, I am in the unique position to become an opinion leader who advocates strongly for the need of the teaching team to increase their leadership capacity as educators in day treatment classrooms. Dutton et al. (2001) emphasize that change leaders are more successful in promoting a change initiative when the issue is communicated as strategically important, when management is responsive, and when the organization is likely to profit from the change. I would use these three factors in my communication with the teaching team to further ensure a commitment to becoming an active PLC within CCHW. Regular weekly meetings will be scheduled with the core team to meet as an official PLC to discuss, plan, and record areas of pedagogical success for teaching students in day treatment classrooms. Meeting minutes will continue to be drafted and emailed to the core team.

**Midstream change phase.** In the midstream change phase, my role as change leader is to communicate effectively with others by providing specific information on future plans, progress, and any upcoming operational changes. Klein (1996) reports that the communication required for this phase is characterized by a need to adhere to three primary objectives: (1) to provide comprehensive information of the current state of affairs to those who may not initially be

directly involved with the change; (2) create awareness of how the change will affect the roles and responsibilities of those not currently involved; and (3) to clarify any questions or misrepresentation about the change. Being mindful of time, an informative memo will be emailed on behalf of the core team, to the day treatment manager, clinical director, and executive director of CCHW, as well as to the principal of care and treatment programs outlining the progress of the newly formed PLC in detail and the future plans in developing a CoP with other day treatment educators and classroom support staff in the region. An invitation to reply with questions, comments, or concerns will be clearly stated and email contact information of other day treatment educators and classroom support staff in the region will be requested at this point.

The continued application of AI and the 4-D Cycle in this middle phase of the change communication strategy is observed through the dream and design phases of AI. The dream phase aims to envision our teaching team, the newly formed PLC, as leaders of the education program offered at CCHW and extending our leadership capacity for the development of a much-needed CoP with day treatment educators from other organizations who deliver day treatment services in the region. Cawsey et al. (2016) urge change leaders to continuously combat misunderstandings that may emerge throughout the change process by maintaining widespread communication on the process and content of the change, sustain enthusiasm for the change initiative by repeatedly communicating excitement, and remain sensitive to the personal impact of the change within members. Data collection activities and processes to will be managed by engaging core team members on a weekly basis in a collective process of sharing stories of their historical relationship with the organization, initiating inquiry with educators and classroom support staff of other day treatment classrooms, and analyzing the data for common themes. The core team will analyze and summarize the data with themes using affirmative word

choices to ensure fidelity with the AI framework which asserts, “the first step in this process is to discover and value those factors that give life to the organization” (Cooperrider et al., 2008, p. 5). The dream phase is the opportunity for the change initiative to connect to an emotional and social desire of improving collaboration and networking for teachers of day treatment classrooms.

In the design phase of AI and the 4-D Cycle, the core team co-constructs a new shared team vision of leadership objectives, informs external members of the vision and change plan, and engages all day treatment classrooms members to be involved in the process of building a collaborative CoP. The literature emphasizes that emergent leaders are ideal change agents who lead within teams to collaboratively co-construct a new vision for a change initiative (Pielstick, 2000; Barry, 1999; Timperley, 2005; Weiner, 2009; Graen & Uhl-Bien, 1995; Zhang et al., 2012). As such, my role in this phase will be to continuously provide feedback to management about the leadership vision of the core team and to influence members of other day treatment classrooms to engage in the change initiative. This phase, located in the midstream change phase, involves more extensive and interactive dialogue about how organizational structure and processes can make the vision become a reality. Several emails containing overviews about the change plan and asking members to engage in surveys and interviews will be sent to all educators and support staff of day treatment classrooms in the region to provide timely access to information, communication, participation, and supportive facilitation.

Once the core team has completed an analysis of the interview responses and drafts the essence of these themes using affirmative word choices, a written statement of the new vision of organizational social architecture bridging the findings from both the dream and design phases is formulated. An email communicating the summary of the findings and the creation of a new

vision would be sent. Resistance in the midstream phase of change may emerge from other day treatment classroom members who require an approach of facilitation and support to ease any feelings of fear or anxiety about the change initiative (Kotter & Schlesinger, 2008). An invitation to a face-to-face meeting at CCHW would be included in this email appealing all interested members to join a discussion about the change plan, connect individuals in meeting the core team and other day treatment classroom members, and facilitate asking questions about the processes and social structure as observed in Figure 3. The shared team vision of increasing teacher-focused leadership capacity and building collaborative alliances for day treatment educators would be communicated as an ideal organizational social structure for members of this CoP. Communicating the need to organize ourselves to optimize teacher leadership capacity and network around best pedagogical practices in day treatment classrooms will be highly emphasized and the final draft of possibility statements will be shared with all teachers and day treatment classroom support staff. The need for continued support of the change initiative as involved members of a CoP and a formalized change plan will be linked to the final communication change phase.

**Confirming the change phase.** The goals of the final phase of the communication plan are to inform members of successes, allow members to celebrate the change, and prepare the organization for future changes (Klein, 1996). The first part of the communication plan required combines the objectives of the AI and 4-D Cycle as discussed in the destiny phase to effectively realize the future state through innovative ways of creating and sustaining that future. The goal of the core team is to promote continuous learning and embrace the momentum for creative implementation. At the face-to-face meeting for all day treatment educators and support staff, the core team will review the inquiry goals, share themes that emerged from the received



appreciative interviews, confirm possibility statements, and reveal the continuation of a CoP as an accessible dedicated website for members. Member will be given information on the logistics of collaborating through a website (i.e. website address, login username, password), and processes for ongoing dialogue and involvement among members to sustain the changes ahead will be discussed as a whole group of partners to reinforce commitment.

The second part of the communication plan required at this stage in the change process is to publicly announce the intended actions and asking for support from the wider organizational team and other organizations offering day treatment services. In the face-to-face meeting held at CCHW with all interested members, opinion leaders will be enlisted to share an email produced by the core team that highlights the achievements of the change initiative thus far to all employees of their respective organizations. The email is a celebratory tool used "...to mark progress, reinforce commitment, and reduce stress" (Cawsey et al., 2016, p. 322). Opinion leaders will also be used to inform and familiarize their respective day treatment managers of the change plan and progress "...to answer questions knowledgeably as they emerge, individually and in meetings of subordinate groups" (Klein, 1996, p. 41), using personally relevant communication channels, thus further ensuring that the change plan is identified, supported, and encouraged by management. The email to organizations offering day treatment services and communication to the day treatment managers must include the importance of capturing the distinct pedagogical interventions of day treatment classrooms, the goal of increasing teacher-led leadership by enhancing communication and collaboration, and the opportunities of networking with school-based and non-school based stakeholders through CoP.

## **Conclusion**

Considering the goals of the PoP are: (a) to capture the distinct pedagogical interventions of day treatment classrooms; (b) to increase teacher leadership capacity and the impact of day treatment services by enhancing communication and collaboration; and (c) to network with school-based and non-school based stakeholders, the priority of the OIP is to initiate a leadership strategy that supports the teaching team at CCHW in increasing their professional capacity. The change implementation plan for organizational change draws on the affirming and empowering nature of Cooperrider et al. (2008) AI and the 4-D Cycle as the choice framework for implementing the change process to privilege the integrity of the high value placed on solution-focused approaches by the CCHW.

The purpose of the OIP is to promote organizational change by “strengthening institutional absorptive capacity,” (Godkin, 2010, p. 196) through identification of historical and/or current strengths of an organization and translating these strengths into possibilities for mobilizing change or a future desired state. As the emergent change leader of an OIP developed to promote organizational learning and raise professional capacity of teachers, my roles are to communicate the need for change, empower the teaching team in managing the transition, engage required stakeholders to be involved in the change plan, and monitor the change process persuasively and ethically.

The proposed change plan seeks to challenge insight inertia by suggesting the formation of a PLC for teachers in day treatment classrooms at CCHW to begin the process of recognizing their tacit knowledge or internal shared mental models, defined as, “organizational routines that have proven successful in the past in terms of explanatory power,” (Godkin, 2010, p. 197). Educators in day treatment settings can feel isolated from mainstream teachers and schools, as well as experience inadequate professional development. The literature supports the creation of a

PLC, characterized by a group of individuals who share common values, are committed through collective responsibility, engage in reflexive professional inquiry, collaborate regularly, and participate in group and individual learning (Godkin, 2010; Stoll, Bolam, McMahon, Wallace, & Thomas, 2006; Hord, 1997) as a means of enhancing teacher effectiveness and student learning. The changing complexity of needs of students that are enrolled in day treatment services force educational objectives to seem less important to the socio-emotional and mental health objectives. However, the role of the educator in day treatment services involve unique pedagogical interventions that require further understanding and articulation to continually advocate for improved professional networking, collective learning, and service excellence.

Godkin (2010) refers to several resources to prevent action inertia within organizations seeking to enhance organizational learning and stimulate change which parallel the advantages of forming a CoP. The literature supports organizational action through CoP to drive strategy, seek innovation, problem solve, transfer best practices, develop professional skills, and retain employees (Wenger & Snyder, 1999; Wenger et al., 2002). Similarly, accessing pertinent knowledge, enlisting the support of champions, and acquiring networks of learning are some strategies that are both recognized to drive change (Godkin, 2010). By building an internal coalition of a leadership core team as a PLC and a wider alliance with other educators in day treatment settings as a CoP, the momentum to generate additional creative solutions to increase day treatment teachers' sense of belonging within the educational system is established.

Future considerations that stem from this OIP include a wide-ranging need to look at sustainability of the change initiatives, their appropriateness in these settings, and the transferability of pedagogical interventions from day treatment to receiving schools upon student discharge. Stoll et al., (2006) explain that the limited availability on longitudinal research on

PLCs means that, “little is yet known about the potential for establishing enduringly effective PLCs” (p. 247). However, proponents of PLCs and CoP advocate for organizational leaders to encourage an internal environment of growth, provide adequate infrastructure to nurture development, explicitly value organizational learning, and expand new learning to external environments (Wenger & Snyder, 1999; Stoll et al., 2006) which may cultivate improved sustainability. Teaching in day treatment is certainly exceptional and often requires an adoption of pedagogical best practices to be acknowledged and assumed by the receiving educator, administrator, support staff, and school. It is quite possible that as alliances of day treatment teachers and support staff continue to engage in discussions and innovative professional inquiry, the change initiative translates to building capacity for these members to be leaders in the community in advocating for the needs of the student and children’s mental health, thus raising the capacity of mainstream teachers and schools in welcoming students who were enrolled in day treatment services.

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## Appendix A

### Continuum of Needs

Appendix A indicates a continuum developed by the Ontario Ministry of Children and Youth Services (2015) as a tool in supporting service providers to help categorize and determine the level of child and youth mental health services it provides based on the severity of needs of the individual child or youth.

#### *Continuum of Needs*

Least Intensive	MCYS-Funded CYMH Services		Most Intensive
Level 1	Level 2	Level 3	Level 4
All children, youth and their families/ caregivers	Children and youth identified as being at risk for, or who are experiencing, mental health problems that affect their functioning in some areas, such as at home, school and/or in the community	Children and youth who are experiencing significant mental health problems that affect their functioning in some areas, such as at home, school and/or in the community	Children and youth experiencing the most severe, complex, rare or persistent diagnosable mental illnesses that significantly impair functioning in most areas such as at home, school and in the community

*Note.* Retrieved from <http://www.children.gov.on.ca/htdocs/English/documents/specialneeds/mentalhealth/pgr1.pdf> (2015) by Ontario Ministry of Children and Youth Services. In the public domain.

## Appendix B

### Summary of Dreyfus' Model of Skill Acquisition

Appendix B illustrates a summary of Dreyfus' skill acquisition model which is used to provide a means of evaluating and supporting staff members' growth in the development of skills, and to provide a definition of level of competence.

#### *Summary of Dreyfus' model of skill acquisition*

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Level 1 Novice	Rigid adherence to taught rules or plans Little situational perception No discretionary judgment
Level 2 Advanced Beginner	Guidelines for action based on attributes or aspects (aspects are global characteristics of situations recognisable only after some prior experience) Situational perception still limited All attributes and aspects are treated separately and given equal importance
Level 3 Competent	Coping with crowdedness Now sees actions at least partially in terms of longer-term goals Conscious deliberate planning Standardised and routinised procedures
Level 4 Proficient	See situations holistically rather than in terms of aspects See what is most important in a situation Perceives deviations from the normal pattern Decision-making less laboured Uses maxims for guidance, whose meaning varies according to the situation
Level 5 Expert	No longer relies on rules, guidelines or maxims Intuitive grasp of situations based on deep tacit understanding Analytic approaches used only in novel situations, when problems occur or when justifying conclusions Vision of what is possible

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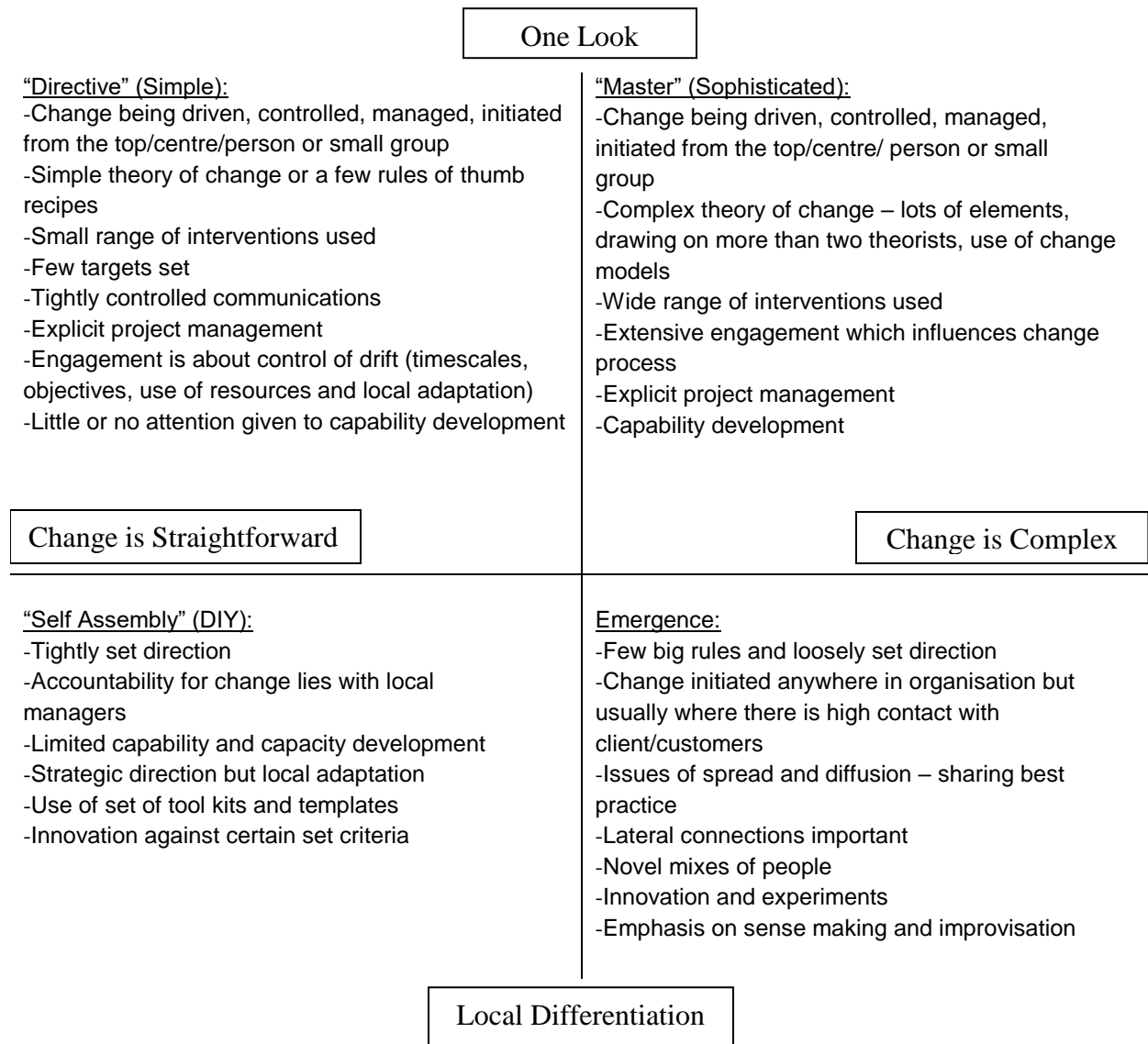
*Note.* Retrieved from

[https://www.researchgate.net/profile/Michael\\_Eraut/publication/12550117\\_Non-formal\\_learning\\_and\\_tacit\\_knowledge\\_in\\_professional\\_work/links/553236370cf2f2a588ad7b57.pdf](https://www.researchgate.net/profile/Michael_Eraut/publication/12550117_Non-formal_learning_and_tacit_knowledge_in_professional_work/links/553236370cf2f2a588ad7b57.pdf) (2000) by M. Eraut. In the public domain.

**Appendix C**

Leadership Approaches to Change

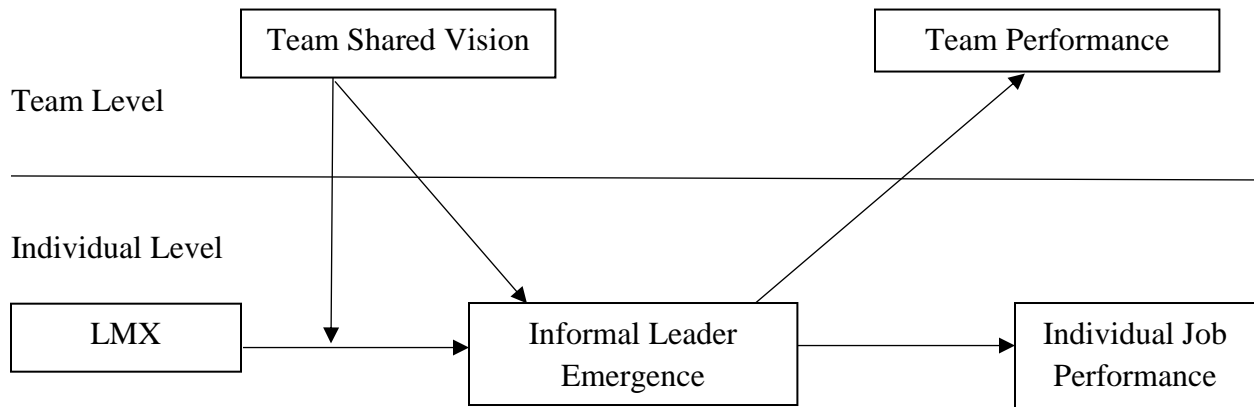
Higgs and Rowland (2005) summarize approaches to leading change based on the complexity of the change initiative and the leadership style of the organization.



*Note.* Four change approaches explained. Retrieved from “All changes great and small: Exploring approaches to change and its leadership,” by M. Higgs, and D. Rowland, 2005, *Journal of Change Management*, 5(2), p. 127.

**Appendix D**

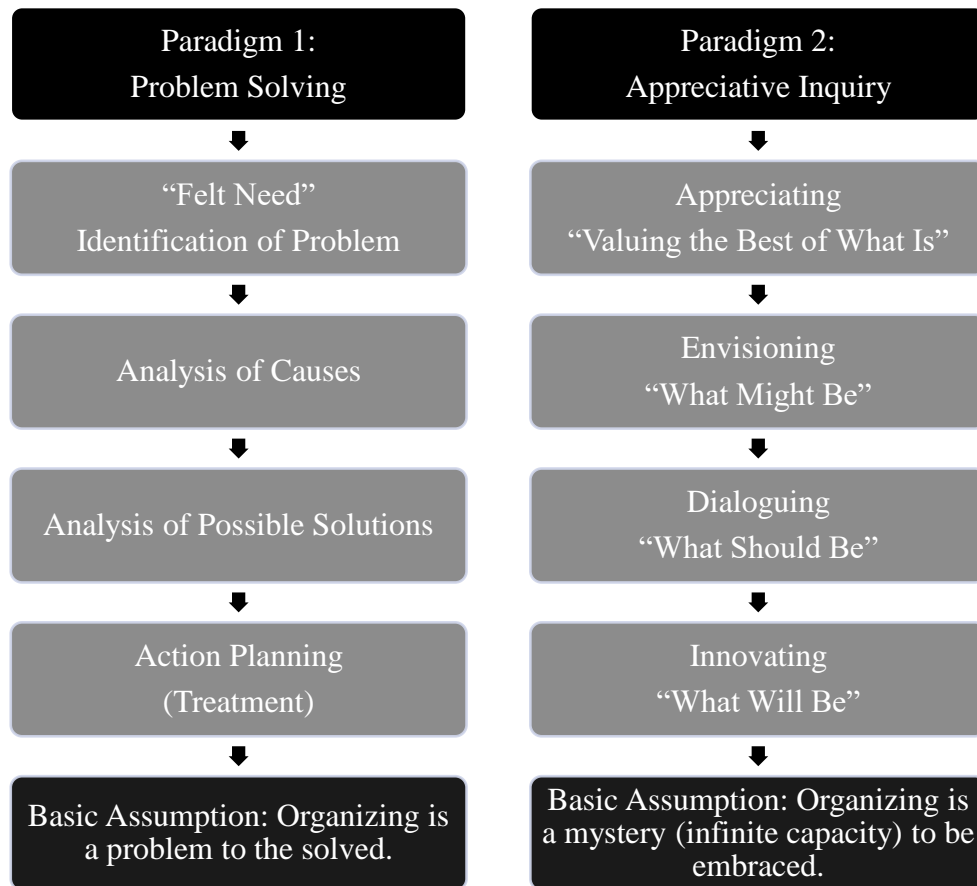
## Proposed LMX Conceptual Model and Hypotheses



*Note.* Proposed LMX conceptual model and hypotheses. Retrieved from “A multilevel investigation of Leader- Member Exchange, informal leader emergence, and individual and team performance,” by Z. Zhang, D. A. Waldman, and Z. Wang, 2012, *Personnel Psychology*, 65(1), p. 53.

## Appendix E

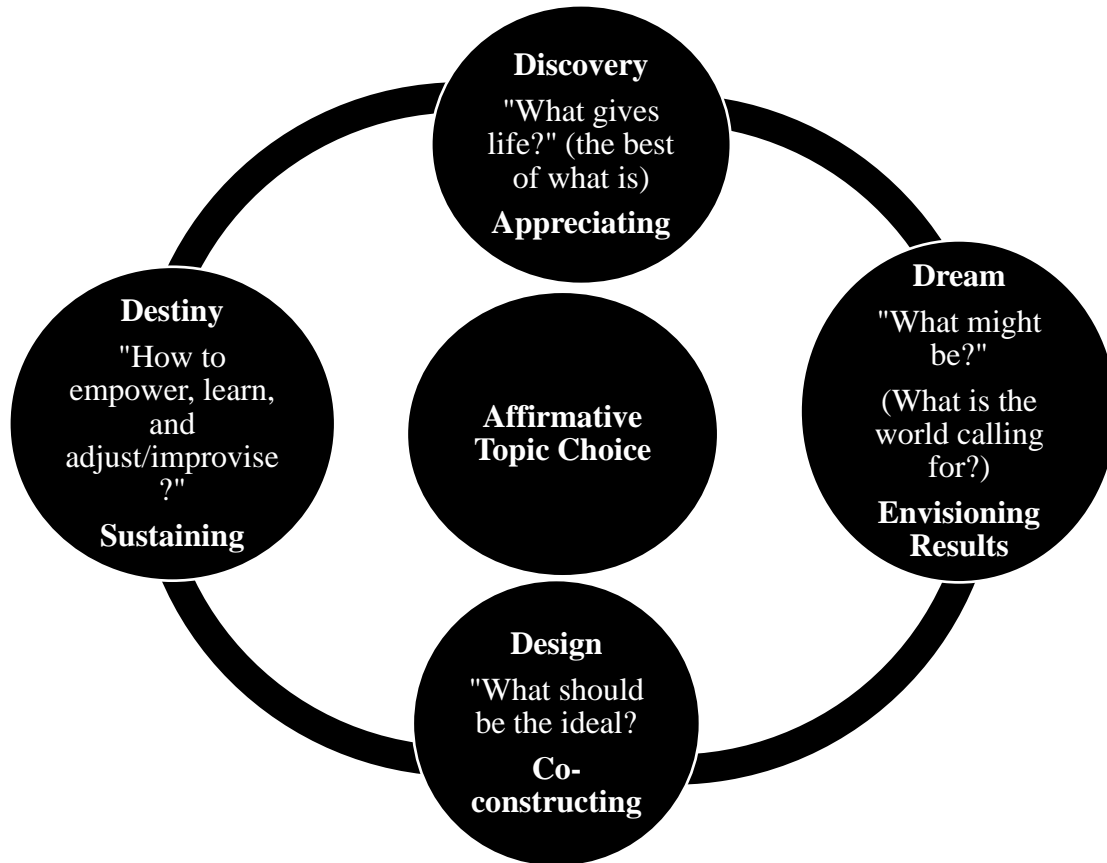
### Two Paradigms for Organizational Change



*Note.* Two paradigms for organizational change. Reprinted from *Appreciative inquiry handbook: for leaders of change*, by D. Cooperrider and D. Whitney, 2007, p. 75, San Francisco, CA: Berrett-Koehler Publishers, Inc. Copyright [2007] by D. Cooperrider and D. Whitney. Retrieved from [https://books.google.ca/books?id=Y7j\\_ecbTvl0C&printsec=frontcover#v=onepage&q&f=false](https://books.google.ca/books?id=Y7j_ecbTvl0C&printsec=frontcover#v=onepage&q&f=false)

## Appendix F

### Appreciative Inquiry and 4-D Cycle

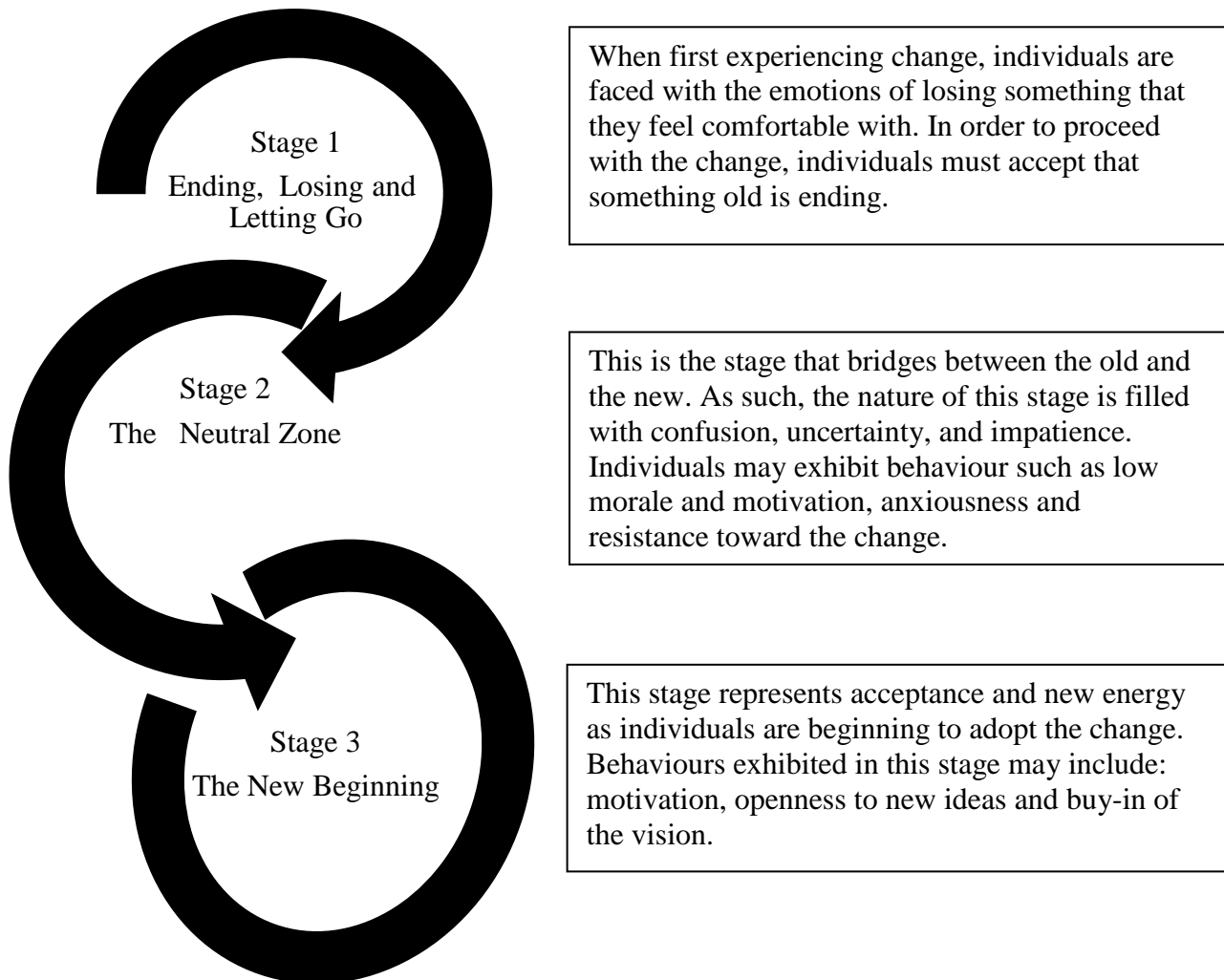


*Note.* Appreciative Inquiry 4-D Cycle. Reprinted from *Appreciative inquiry handbook: for leaders of change*, by D. Cooperrider and D. Whitney, 2007, p. 77, San Francisco, CA: Berrett-Koehler Publishers, Inc. Copyright [2007] by D. Cooperrider and D. Whitney. Retrieved from [https://books.google.ca/books?id=Y7j\\_ecbTvl0C&printsec=frontcover#v=onepage&q&f=false](https://books.google.ca/books?id=Y7j_ecbTvl0C&printsec=frontcover#v=onepage&q&f=false)



## Appendix G

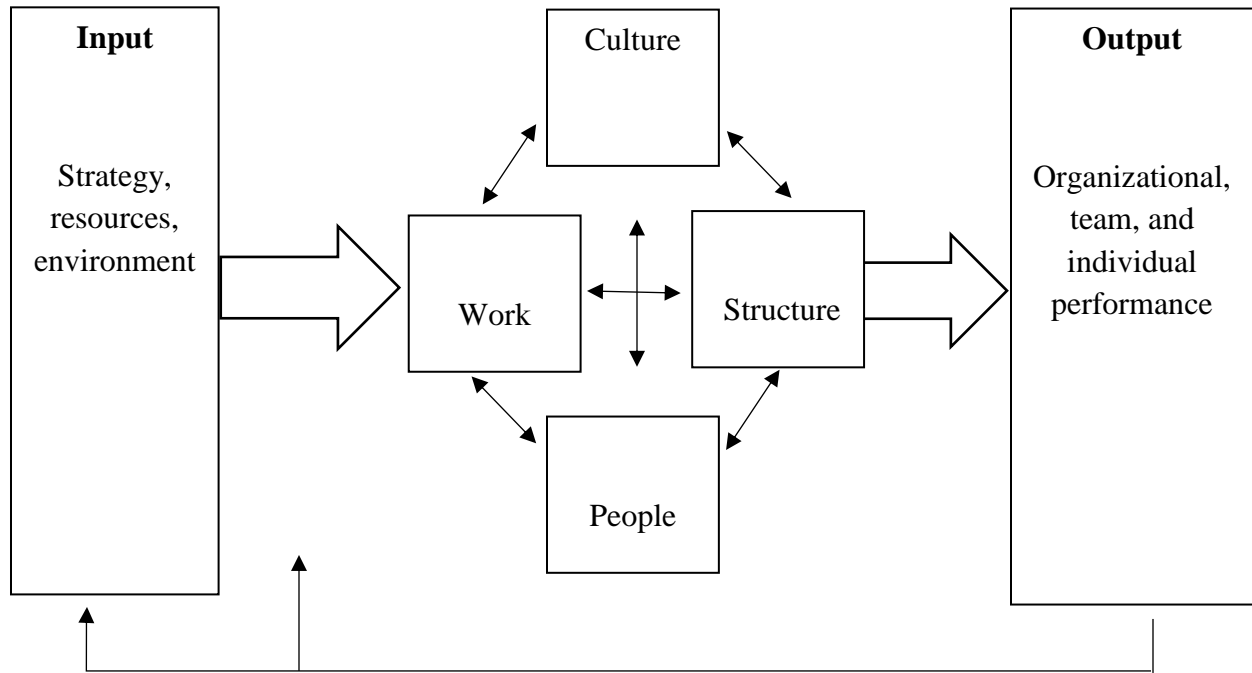
### Stages of Change in William Bridges' Transition Model



*Note.* Three stages of change in William Bridges' Transitional Model. Reprinted from Change management theory – Brief: William Bridges' Transitional Model, by Ontario Centre of Excellence for Child and Youth Mental Health, 2017, Ottawa, ON: Author. Copyright [2017] by the Ontario Centre of Excellence for Child and Youth Mental Health. Retrieved from [http://www.excellenceforchildandyouth.ca/sites/default/files/docs/CMtoolkit/william\\_bridges\\_transitional\\_model.pdf](http://www.excellenceforchildandyouth.ca/sites/default/files/docs/CMtoolkit/william_bridges_transitional_model.pdf). In the public domain.

**Appendix H**

## The Nadler-Tushman Congruence Model



*Note.* The Nadler-Tushman Congruence Model. Adapted from Mind Tools, by The Mind Tools Content Team, 2018, Retrieved from [https://www.mindtools.com/pages/article/newSTR\\_95.htm](https://www.mindtools.com/pages/article/newSTR_95.htm). Copyright [2018] by Mind Tools.

## Appendix I

### DICE Framework Exercise Template

Consider a change initiative that you know is currently being considered for adoption and apply the DICE model to it.

- Duration: How frequently is the project formally reviewed?

- a) Time between project reviews is less than 2 months—1 point
- b) Time between project reviews is 2–4 months—2 points
- c) Time between project reviews is 4–8 months—3 points
- d) Time between project reviews is more than 8 months—4 points

- Duration Score = \_\_\_\_
- Integrity: How capable is the project team leader? How capable and motivated are team members? Do they have the sufficient time to devote to the change?

- a. Leader is respected, team is capable and motivated, and members have sufficient time to commit to the project—1 point
- b. If leader or team is lacking on all these dimensions—4 points
- c. If leader and team are partially lacking on these dimensions—2 to 3 points

- Integrity of Performance Score: (Your Initial Score  $\times$  2) = \_\_\_\_
- Commitment of Senior Management: How committed is senior management to the project? Do they regularly communicate the reasons for the initiative and its importance? Do they convincingly communicate the message and their commitment? Is the commitment to the project shared by senior management? Have they committed sufficient resources to the project?

- a. If senior management clearly and consistently communicated the need for change and their support—1 point
- b. If senior management appears neutral—2 to 3 points

c. If senior management is reluctant to support the change—4 points

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- Senior Management Commitment Score: (Your Initial Score  $\times$  2) = \_\_\_\_
  - Local Level Commitment: Do those employees most affected by the change understand the need and believe the change is needed? Are they enthusiastic and eager to get involved or concerned and resistant?
- 

a. If employees are eager to be engaged in the change initiative—1 point

b. If they are willing but not overly keen—2 points

c. If they are moderately to strongly reluctant to be engaged in the change—3 to 4 points

---

- Local level Commitment Score = \_\_\_\_
  - Effort: What incremental effort is required of employees to implement the change? Will it be added on to an already heavy workload? Have employees expressed strong resistance to additional demands on them in the past?
- 

a. If incremental effort is less than 10%—1 point

b. If incremental effort is 10% to 20%—2 points

c. If incremental effort is 20% to 40%—3 points

d. If incremental effort is greater than 40%—4 points

---

- Effort Score = \_\_\_\_

To calculate your overall DICE score: Add the scores from the above:\_\_

---

1. What score did the change project receive? Was it in the low-risk category (7 to 14), the worry zone (between 14 and 17), or the high-risk area (over 17)?
  2. Do the findings help you to think about important sources of risk to the success of the project?
  3. Do the findings help you to think about what can be done to make the levels of risk more manageable?
- 

*Source:* Reprinted from Sirkin, H. L., Keenan, P., & Jackson, A. (2005). The hard side of change

management. *Harvard Business Review*, 83(10), 108–118.

*Note.* Exercise template retrieved from <https://study.sagepub.com/node/23345/student-resources/chapter-10/exercise-templates> (2016) by T. F. Cawsey, G. Deszca, and C. Ingols. In the public domain.

**Appendix J**

**Risk Exposure Calculator Exercise Template**

Consider a change initiative that you know is currently being considered for adoption and apply the risk exposure calculator to it.

				<i>Score</i>
Change Pressure	Pressure to produce Low    High 1   2   3   4   5 Score:	Level of ambiguity Low    High 1   2   3   4   5 Score:	Experience with change High*   Low 1   2   3   4   5 Score:  *Note: High and Low anchors are reversed for this item.	Out of 15 ____
Change Culture	Degree to which individuals are rewarded for risk taking Low    High 1   2   3   4   5 Score:	Degree to which executives resist hearing bad news Low    High 1   2   3   4   5 Score:	Level of internal competition Low    High 1   2   3   4   5 Score:	Out of 15 ____
Information Situation	Degree to which situation is complex and fast changing Low    High 1   2   3   4   5 Score:	Level of gaps that exist in diagnostic measures Low    High 1   2   3   4   5 Score:	Degree to which change decision making is decentralized Low    High 1   2   3   4   5 Score:	Out of 15 ____
Total Score =				

Using scoring criteria consistent with that developed by Simon:

- If your score is between 9 and 20, you are in the safety zone.
- Between 21 and 34, you are in the cautionary zone.
- Between 35 to 45, you are in a danger zone.

1. Does the organization have an appropriate level of risk taking given the nature of the business it is in? Does it play it too safe, about right, or does it take excessive risks?

2. Does the approach help you in thinking about risk and what factors may be contributing to the overall risk levels?
  
  
  
  
  
  
  
  
  
  
3. Do the findings help you to think about what can be done to make the levels of risk more manageable?

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*Source:* Adapted from Simon, R. (1999). How risky is your company? *Harvard Business Review*, 77(3), 85-94.

*Note.* Exercise template retrieved from <https://study.sagepub.com/node/23345/student-resources/chapter-10/exercise-templates> (2016) by T. F. Cawsey, G. Deszca, and C. Ingols. In the public domain.