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Organizational Mechanisms of Change in Implementation Science

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Outline

• The organizational context: Organizational climate & culture
• Implementation climate
• Intervening with climate: An example
• Additional (possibly) relevant organizational constructs
Setting the stage…

• The fields of industrial/organizational (I/O) psychology and management (human resources and organizational behavior)
• The breadth of I/O-OB-HR
I/O Topics

- Job analysis
- Recruitment
- Careers
- Individual assessment
- Hiring systems
- Performance evaluation
- Citizenship behavior
- Counterproductive behavior
- Turnover
- Training
- Mentoring
- Coaching
- Proactive behavior
- Motivation

- Job attitudes
- Organizational justice
- Interpersonal relationships
- Communication
- Person-environment fit
- Socialization
- Diversity & inclusion
- Leadership
- Creativity
- Performance
- Rewards & compensation
- Climate & culture
- Job design
- Groups and teams

- Workplace safety
- Nonstandard workers
- Stress & well-being
- Organizational politics
- Conflict
- Negotiation
- Workplace aggression & violence
- Sexual harassment
- Succession planning
- Organizational change
- Mergers & acquisitions
- Cross-cultural issues
- Corporate social responsibility
More setting the stage…

• Macro vs. micro
• Quantitative and qualitative
• Observational vs. intervention research
Climate vs. Culture

Organizational climate:

• “The shared meaning organizational members attach to the events, policies, practices, and procedures they experience and the behaviors they see being rewarded, supported, and expected” (Ehrhart et al., 2014, p. 69)

Organizational culture:

• “A pattern of shared basic assumptions learned by [an organization] as it solved its problems of external adaptation and internal integration, which has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems” (Schein, 2010, p. 18)
Similarities in Climate and Culture Thinking

- Holistic/macro perspectives on human organizations
- The meaning of the setting is shared, naturally, and there is usually consistency/strength
- Importance of the role of leaders
- There are important consequences for organizational performance
Differences in Climate and Culture Thinking

- **Organizational Climate**
  - Psychological/quantitative
  - Process and strategic foci
  - Conscious awareness
  - Leadership is important but the founder and history are ignored
  - Socialization and life cycles not considered
  - Sub-climates not much studied
  - *Relatively* amenable to change

- **Organizational Culture**
  - Anthropological/qualitative
  - Unfocused/generic
  - Deep-level basic assumptions
  - The founder is key to the organization’s culture and it evolves with success
  - Life cycles and transmission of the culture are central issues
  - Subcultures always exist
  - Very difficult to change
Molar climates versus focused climates

**Molar climate**
- General work environment
  - “Is this a good place to work?”
- Sample dimensions
  - Conflict and ambiguity
  - Job challenge and variety
  - Leader facilitation and support
  - Work group cooperation, friendliness, and warmth
  - Structure/standards

**Focused climate**
- Specific to particular processes or strategic goals
  - “What are this organization’s priorities?”
- Sample climates
  - Service climate
  - Safety climate
  - Ethical climate
- Critical concepts: Bundles and alignment

Focused climates tend to have stronger relationships with organizational effectiveness
Why I like climate...

• Focus on bundles rather than individual practices
  • There are no silver bullets
  • Systems thinking (Katz & Kahn, 1966)

• Links the macro to the micro
  • Links strategy to policies/practices/procedures/systems to employees and their behavior

• Focus on long-term solutions

• Provides a path to changing culture
Leadership & Organizational Climate
The Role of Leaders

• Leaders are critical for establishing the climate in their units

• Focused leadership → Focused climate

Figure 1: Proposed Model of Relationships between Organizational Culture, Climate, and Unit-Level Productive and Counterproductive Behavior in Organizations

Climate

Culture Embedding Mechanisms

Primary Embedding Mechanisms

• What leaders pay attention to, measure, and control
• How leaders react to critical incidents/crises
• How leaders allocate resources, rewards, and status
• Role modeling, teaching, and coaching
• How leaders recruit, select, and promote

Secondary Embedding Mechanisms

• Organizational design and structure
• Organizational systems and procedures
• Rites and rituals of the organization
• Design of physical space, facades, and buildings
• Stories about important events and people
• Formal statements of organizational philosophy, creeds, and charters

Outcomes of Organizational Climate
Meta-Analyses of Climate’s Outcomes

- **Service climate**

- **Safety climate**

- **Innovation climate**

- **Justice climate**

- **Diversity climate**
Figure 1: Proposed Model of Relationships between Organizational Culture, Climate, and Unit-Level Productive and Counterproductive Behavior in Organizations

Cultural Values and Assumptions

Leadership (values, behavior)

Policies, Practices, & Procedures

Overall Climate for Well-Being

Process Climates (Justice, Ethics, Diversity, Participation)

Strategic Climates (Service, Innovation, Safety)

Unit-Level Productive and Counterproductive Behavior
- Aggregate behavior
- Behavioral norms
- Global unit behavior

Unit Effectiveness (e.g., quality of service/product; goal progress; innovation; financial performance)

Mediators of Service Climate’s Effects

Mediators of Safety Climate’s Effects

### Implementation Climate

Employees’ shared perceptions of the policies, practices, and procedures and the kinds of behaviors that are expected, supported, and rewarded towards the goal of effective implementation of evidence-based practice (EBP)

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<th>Focus on EBP</th>
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<td>Educational Support for EBP</td>
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<td>Existing supports for EBP</td>
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<td>Integration of EBP</td>
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Implementation Leadership

Leader behaviors that support effective implementation of evidence-based practice (EBP)

- **Knowledgeable**
  Practices and continue to develop expertise in EBP

- **Proactive**
  Develops a plan to facilitate implementation of EBP

- **Supportive**
  Recognizes and appreciates staff efforts toward successful implementation of EBP

- **Perseverant**
  After crises are under control, ensures that the focus returns to EBP implementation efforts

- **Available**
  Communicates an open door policy to all staff

- **Communication**
  Talks about, and encourages communication about, EBP

- **Vision/Mission**
  Links implementation of EBP to the broader mission of the organization and/or clinic
Implementation Citizenship Behavior

The discretionary behavior that employees perform to support evidence-based practice (EBP) implementation

- Helping Others
- Keeping Informed
- Taking Initiative
- Advocacy/Boosterism
Outcomes of implementation leadership/climate

- Changes in leadership lead to changes in climate, which lead to changes in outcomes

Leadership and Organizational Change for Implementation (LOCI)
Team-Level Implementation Leadership

Organizational-Level Leadership
- Leadership alignment
- Communications
- Structures/Processes
- Incentives
- Hiring

Team-Level Implementation Climate

Motivation
- Knowledge, Skill, Ability
- Implementation Citizenship

EBP Use with Fidelity

LOCI Intervention
- Organization Intervention
- Leader Intervention
Alignment and Implementation Success

versus

Counselors Supervisors Executives

Counselors Supervisors Executives

Implementation Success
LOCI Core Principles

- Evidence
- Alignment
- Communication
- Feedback
- Sustained Change
- Adaptive & Flexible
LOCI Training

• Substance abuse treatment agencies
• Twelve-month training
• RCT with LOCI condition and control condition
• Funded by NIDA
## LOCI Training

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<td>OSM Monthly Check-In Calls</td>
<td>Follow Up Training 1</td>
<td>Mid-Cohort team meeting</td>
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<td>Assessment</td>
<td>Audio Recording Training</td>
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<td>OSM Monthly Check-In Calls</td>
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<td>Study Wrap-up</td>
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*OSM = Organizational Strategy Meeting*
LOCI Lessons Learned

• Organizational change is hard
• Multiple levels of analysis
• What leaders need to address changes across the stages of implementation
  • Preparation – Implementation – Sustainment
  • Unfreezing – Change – Refreezing
Moderators of Climate’s Effects
Example: Customer Contact as a Moderator

Example: Patient Complexity as a Moderator

Climate Strength Examples

Koopmann, Lanaj, Wang, Zhou, & Shi (2016)

Drach-Zahavy & Somech (2013)

González-Romá, Fortes-Ferreira, & Peiró, 2009)
Interaction of Implementation and Molar Climate

Measurement & Design
Measuring Climate

• Aligning theory and measurement
• Psychological vs. organizational climate
• Referent shift for item-writing
  • Psychological climate: I am recognized when I do a good job [behave safely]
  • Organizational climate: Members of my team are recognized for doing a good job [behaving safely]
• The rule: The item should be written at the level of analysis to which you wish to aggregate
• Remember to check aggregation statistics
  • $r_{WG}$ (or AD or $a_{WG}$)—index of absolute agreement
  • ICC(1)—index of within vs. between variance (ANOVA)
  • ICC(2)—reliability of the aggregate mean (strongly affected by sample size)

Multilevel Research Challenges

• Multiple, cross-level, serial mechanisms
  • Identifying primary mechanisms and appropriate levels

• Sample size
  • Need adequate sample size at multiple levels, including sample size within each level

• Qualitative and mixed methods research
Creating an organizational climate for implementation seems like it would take a lot of time, energy, and expense…

Can you just focus on the individual level and ignore the role of the organizational context?

All of this stuff on bundles of practices across multiple levels is kind of a pain from a research design and analysis perspective…
Beyond Climate: Other Relevant Organizational Constructs
Teams

Teams

Teams

Work Stress

Job demands-resources model:

Sample resources:
- Job security
- Rewards
- Autonomy
- Participation in decision making
- Resilience
- Social support
- Family-friendly workplace policies

Work Stress

Transactional model of work stress:


Threat Appraisal and Resistance to Change (Implementation)

• Why do workers resist change?
  • Loss of control
  • Excess uncertainty
  • Unprepared for change
  • Challenge of learning new routines
  • Loss of face
  • Concerns about future competence
  • More work
  • Past resentments
  • Real loss of status

Reactions to Organizational Change

Job Design


Turnover

Unfolding Model of Turnover:


* This figure includes the changes to the unfolding model added for the present study.

*b* An asterisk (*) indicates that the route is not classifiable and that it represents a theory falsification—a way in which an individual could leave an organization that would not be part of one of the model's paths.
Unfolding Model of Turnover

• Four “paths” to turnover:
  1) Shock leads to immediate turnover response
  2) Shock leads to evaluation of job and leaving without a job alternative
  3) Shock leads to evaluation of job, comparison with job alternative, and leaving for job alternative
  4) No shock; slow, evolving dissatisfaction with job that leads to job search and/or immediate turnover

• Need to understand nature of turnover to determine proper response

• (See also the literature on psychological contract breach)

**Turnover: Meta-Analytic Findings**

**Distal Predictors:**
- Job Content
- Stress
- Work Group Cohesion
- Autonomy
- Leadership
- Justice
- Promotion Opportunities

**Proximal Predictors:**
- Job Satisfaction
- Organizational Commitment
- Job Search
- Comparison of Alternatives
- Withdrawal Cognitions
- Quit Intentions

**Turnover**

Key Takeaways for Working in Organizations

• People are complex, and organizations made up of people who bring along their unique and diverse perspectives are even more complex

• Alignment is critical!
  • Across policies, practices, and procedures
  • Between espoused values and enacted values
  • Between desired behavior and incentive structures (the folly of rewarding A while hoping for B…)
  • Across levels of leadership

• Long-term thinking is required – there are no silver bullets
• Communicate, communicate, and then communicate some more
• Data and assessment – measure what you value
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• Additional Collaborators
  • Aaron Lyon, PhD
  • Clay Cook, PhD
  • Jill Locke, PhD
  • Nate Williams, PhD

• Funding Agencies
  • National Institute of Mental Health
  • National Institute on Drug Abuse
  • Institute for Education Sciences
Thank you!

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