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In June of 2012 he retired from his position as professor in the Departments of Family and Community Medicine, Preventive and Restorative Dental Sciences, and Social and Behavioral Sciences (School of Nursing) at the University of California, San Francisco (UCSF). During his time at UCSF, he also served as the director of the Center for the Health Professions, a research, advocacy, and training institute that he created in 1992. The mission of the Center is to assist health care professionals, health professions schools, care delivery organizations, and public policy makers in understanding the challenges and opportunities of educating and managing a health care workforce capable of improving the health and well-being of people and their communities. His work has focused on change within the US health care system through improved policy and leadership.

In 2001 he created O’Neil & Associates with an aim to assist organizations in understanding the strategic challenges they face in a changing health care world and developing strategies and leadership competencies to succeed. His clients include foundations, academic health centers, public sector providers, policy makers, the pharmaceutical industry, and providers in health systems and professional practices.

He holds a bachelor’s and a master’s degree from the University of Alabama as well as a master’s of public administration and a doctorate in history from Syracuse University. In addition, he holds honorary degrees from New York Medical College, the Western University of Health Sciences, and two other universities. In 2003 he was elected to an honorary fellowship in the American Academy of Nursing.

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Introduction to Change: Moving from Managing to Leading

Much is made by some about the distinction between leadership and management, but it seems to be more a matter of degree or emphasis than two different undertakings. In a useful article, John Kotter made these distinctions:¹

Figure 1.1
Leadership vs. Management

Leadership	Management
Sets directions	Creates plans and budgets
Aligns people	Organizes and staffs
Motivates people	Controls and problem solves

Models of Leadership

We all have a model of leadership that operates inside our head. These models are made up from observations of leaders we have known, items we have read, and insights we have taken away from our own experiences. We may not even be conscious of having a “model” of leadership, but everyone that takes actions as a leader has something that informs and shapes these actions. Often that model fits with the challenges before us, but sometimes the model and the situation don’t align and that is when trouble can start. To begin this exploration of leadership, let’s look at some models of leadership. Let’s start with yours.

One important component of your personal model leadership is derived from what you have learned from others. Think about the most effective leader you have ever worked with directly. What were the key characteristics that distinguished him or her from other good leaders? List those traits here:

¹ Kotter JP. What leaders really do. *Harv Bus Rev.* 1990;68(3):103-111.

Most effective leader

What do you notice about your group's leadership model?

Any surprises?

A simple leadership formula:

$$\text{Leadership} = \text{Vision} + \text{Task} + \text{Relationship}$$

In this formulation, vision is synonymous with purpose and task addresses the process concerns. Relationship speaks to both connections to other people and the personal insight needed to fully value these relationships.

Synthesizing the particular skills into the demands of the moment is what leadership is truly about.

Why Change is Hard

Over the past decade many authors writing on change and how to manage it effectively have assured us that the postmodern world in which we live will be marked by constant whitewater and their sage advice, “Get use to it.” This may sound reasonable while reading in the comfort of a warm bed late at night. It does not, however, offer much consolation when faced with a bunch of hostile and recalcitrant coworkers in health care or education who are not really ready to “embrace the challenge” of a constantly changing world.

The ideal crew to handle constant change would embrace the task ahead, be ready to support one another through any weather, willingly reframe their work to address the mission and be capable of restraining individual desire for collective effort. Instead it is likely that your experience managing change more closely resembles this:

A challenge you must meet for the patients, students or customers you serve that will require a significant change among faculty, researchers, practitioners and staff. Though these changes are necessary adjustments, not merely made up by the “leadership suits,” you have been met with reluctance, confusion, heckling, anger and finally rejection, either active or passive, to the proposed course of action.

You want to be the leader; they just do not seem to want to follow.

Or as David Nadler has put it, “Change is persuading massive numbers of people to stop what they have been doing and start doing something that they probably don’t want to do.” This leadership module is about how to manage and lead the change process.

Coherence and Paradigms

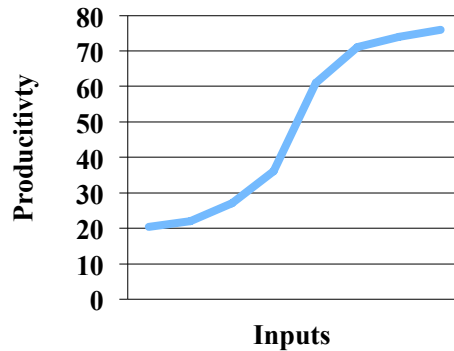
In his classic work on the structures and frameworks that shape and mold the realities of scientists, Thomas Kuhn introduced us to the enormously powerful notions of *paradigms* and how they both create understating and limit innovation.² Paradigms are frameworks of understanding that organize the world in a way that makes it productive and useful for those who hold the paradigm. This utility is the source of a paradigm’s awesome power.

Health care workers organized into professional guilds with special skills, vocabularies, privileges and work has been the dominating paradigm for the organization of health services for centuries. The paradigm produced much of the gains that have come from health care in the past ranging from basic biomedical knowledge to its application in immunizations and surgery. Because it worked so well, it also produced economic gain and social prestige for the incumbents within the system. However, today this health care paradigm may actually be inadequate to addressing the challenges of health care which leaves

Press, 111-113.

a large percentage of the population without regular service, uses more and more economic resources every year, is uneven, at best, in its standards of quality, and which causes thousands of avoidable deaths annually.

Yet, because of its effectiveness in the past and because the incumbents derive so much from its maintenance, we continue to offer it resources, like some primitive cult, hoping against hope that it will return to its effectiveness of old. To break such a hold, a powerful vision is needed; one that explains the irrationality of sustaining what we do and challenges us to create a new paradigm.



What are your paradigms?

Take a minute to reflect on the addition exercise. Did your actions reveal anything about your paradigms? Describe them here and see how they might limit your adaptation to a changing environment.

My paradigms?

- _____
- _____
- _____
- _____
- _____
- _____

How do they limit me?

- _____
- _____
- _____
- _____
- _____
- _____

When Paradigms Need to Change

Paradigms exist to help us make sense of the world around us. They exhibit themselves in myths, culture, rules, theories, tools, techniques, and technology. Their ability to explain reality and to make us effective actors in the world around us is what gives them power, because they give us power. This is why we are so attached to paradigms that are still working, or seem to be, and why they are so hard to break.

If the world around us was static and never needed to change, then we would never be aware of our paradigms as they would continue to effectively explain and order reality. However, as circumstances change then our tools and frameworks may no longer work or work as well as they once did. At first we will not see the changes, but will try to make our familiar paradigm work, maybe spending more resources to see if we can get it started again. Ultimately, the group that uses the paradigm will adapt a new more functional framework or they will lose their position or role in the larger society, economy, or organization.

The driver of such changes of course is the environment. There are many ways to categorize the changes in the environment. Four helpful “buckets” for changes are external, internal, global and local. They are not exclusive of each other, there might be a need to be cost effective that is external with significant local implications. Use the boxes below to identify some of the factors that are driving the need for change in your paradigm or reality.

<u>Global Changes</u>

Internal Changes

External Changes

Local Changes

Take a few minutes to compare your sense of how the environment is changing with a colleague. How do you see it in the same way? How do you see it differently?

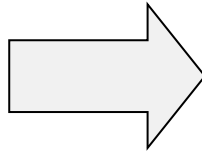
Changing Environment

The current way is not sustainable and already a new paradigm is emerging. It is not exactly clear what the paradigm will look like and it will definitely vary in its shape, power, and speed from region to region and profession to profession, but it is changing.

The general shape and direction of the shift seems likely to move from the left to the right in the figure below.

Today

- Acute treatment
- Pay for transactions
- Cost unaware
- Professional prerogative
- In-patient
- Individual profession
- Traditional practice
- Information as record
- Patient passivity



Tomorrow

- Chronic prevention and management
- Pay for value
- Price competitive
- Consumer responsive
- Ambulatory - Home and Community
- Team
- Evidence based practice
- Information as tool
- Consumer engagement and accountability

The smart question for leaders is how to adjust to this shift in paradigms, not suffer from the pain of the change. To do this will require movement from the highly independent and uniform reality of the old paradigm to the more interdependent and diverse world that is emerging. This will take partnerships and leadership to make them happen.

As a leader your success will be in large part determined by your ability to help others understand and develop in this new paradigm.

One Model for Change

Because change is a complex undertaking there are many ways to frame it for consideration. One basic change formula looks like this:

$$\text{Change} = \text{Benefits of the Status Quo} < A * B * C$$

When:

A = Pain of maintaining the status quo

B = Vision of a different world

C = Small steps to achieve that vision

How does this model help you understand Rosa's experience? What pain would be inflicted in keeping the status quo? Who benefits and how from keeping the status quo?

<u>Pain of Status Quo</u>
• _____
• _____
• _____
• _____
• _____
• _____
• _____

<u>Benefits of Status Quo</u>
• _____
• _____
• _____
• _____
• _____
• _____
• _____

While a useful general construction, this model fails to give detailed clues as to how one should proceed with developing the resources and skills needed to successfully lead or

manage a change process. The number of components that could be included is almost unlimited, but a few key ones will guide our work in this module.

Leading Change and Influencing Others

Any time we are responsible for leading change there is both a strategic and a tactical game that is played. Most of us are not asked to address broad issues of strategic change, but many of us are responsible for leading and managing the implementation of changes that are essential for the long term health of our organizations from private practices to hospitals to large public agencies. Today in health care there is a considerable quantity of change and if you have a leadership or management role in health care today, it is likely that you are or will soon be involved in a change effort.

Leading Change: Rosa's Big Change

Rosa Maldonado, RN, CNS, MSN is the Manager of ICU/CCU at Novidian a large regional medical center formed from the merger of three hospitals a decade ago. Since she was a little girl growing up on a small farm outside of town, listening to her mother talk about her work as a LVN in the local clinic, Rosa has wanted to be a nurse. She went straight through the four year program at Dominican and won top honors every year. Her entire career has been at Novidian. She started in a med-surg unit, but quickly moved to the ICU when the opportunity arose.

She is a quiet and hard working person, but is well liked by co-workers, patients and families because of her warm and open style. She was asked to take a charge role less than a year in the ICU. This prompted her to go back to school and complete a CNS in critical care and stay on to complete a Master's degree. She took an evening shift so she could focus her full attention on her school work.

Rosa has always been interested in the culture of critical care and did her thesis on family and patients and professional experience in the ICU. The consumers assumed that the care was fine, but were troubled by the lack of information, lack of access to their loved one, tension between the doctors and nurses and the noise and confusion that seemed to be characteristic of "all the carts crashing about". The clinical staff didn't seem to have many things to say, concluding that it was a "highly professional service".

Rosa published her study in JONA and has been interested in building a patient/family friendly ICU. Since becoming Manager of the service she found a grateful family that gave Novidian \$5 million to build Rosa's dream. She had the ideas already and involved families and staff in the design of this model unit. The nursing staff was not nearly as engaged as the community members, but Rosa knew she had their trust and that they would come along once they all saw how beautiful it was.

And it is, it came on line six months ago and the stream of visitors from around the world to see and learn about the unit has steadily grown. She has struggled to keep the new unit's identity separate from the efforts to "re-brand" the hospital as a research and service provider as it doesn't seem to fit with the ambience she is trying to create. The unit decorated in soft earth tones, the equipment is folded into the walls, there is a family education center and soft music wafts through out the unit. It feels nothing like the hard core tertiary care image that Novidian is pushing out.

Rosa has just finished her analysis of the outcomes for the first quarter. The length of stay has dropped by almost half a day and the readmission rate in seven of ten critical areas has dropped significantly. Families and patients are very satisfied. But there is one big negative she did not anticipate. She has lost almost 30% of her nursing staff some to other units at Novidian and worse the majority to other ICUs and competitor hospitals. While the hospitalist group had been supportive, even pledging \$10,000 for the unit, they are now starting to grumble that it doesn't work as well for them as the usual way of doing this.

She forwarded a summary report of these exciting outcomes to the executive committee this morning. As she opened her email after lunch, she sees a message from the CFO, she always reads his first. He has asked to see her this afternoon. There is no mention of the great outcomes for the unit. He points out that every nurse Novidian loses costs \$100,000 to replace and he wants to know what her plan is to stop the hemorrhage that the new unit has created.

What things did Rosa do correctly in this change process?

Where did she make a few missteps?

What would you do differently?

Influencing Lessons from Rosa

What lessons from Rosa's experience do you want to remember when you do your change work?

When Leading Change, I Will

- _____
- _____
- _____
- _____
- _____
- _____
- _____

Six Essential Influencing Elements

Most efforts to lead or manage change involve the process of how we can influence others, usually without much formal authority. This influence will need to be aimed in three different directions from where we sit as leaders: down, out and up. Each of these involves a different framework and understanding, but effective influence without authority begins with understanding the following six elements.

Self-awareness – Having insight into your skills and weaknesses as an influencer and the ability to move beyond the heroic leader role to being a collaborator. Self-insight also includes what you want from a situation and what you are willing to give to secure it.

For **Change Work** you will need to add in awareness of what you think about the change. Are you supportive of the change? Do you understand the reasons for the change? How will this change impact you and how you work? How will it impact your career? How do you feel about change in general? Is now a time in your life, professional or personal, that you can tolerate more change?

Needs of others- Understanding the full range of needs, from strategic to interpersonal, of those that you want to influence. Knowing what they need, desire and want is essential to your being an effective influence.

For **Change Work** you will need to ask many of the same questions of others that you have asked of yourself. One of the big disconnects in leading change is assuming that once we come to a place where we can support change, we believe that others share that commitment. One of the best ways to enhance your ability to lead change is to truly understand how others see and will experience the change. It will also help immensely if you have a deep understand of what they value and believe they need.

Common ground – Having the ability to develop, share and gain buy-in to a broad vision about your collective work that is shared in all directions. This also includes knowledge about the mutual gain that we will share in, even if the motivation for that mutual gain varies from person to person.

For **Change Work** that is of a more tactical nature you hopefully will be working with an existing framework for carrying out the change from a strategic perspective. Your job will be to translate the change into something that can be understood and valued at the level of the people that you must influence. This does not mean “dumbing it down”. It does mean understanding the strategic change with enough precision that you as a leader can translate the impact of the change to your team, unit, department, office or organization. Not all news about change is welcome news. In fact, even developments that some might see as positive will be perceived by others in a negative light.

Relationship capital – Your stock of good will that has built up over time with the various constituencies and stakeholders, in all three directions. The process of influencing either builds or draws down on our relationship capital.

Change Work will draw on your stock of relationship capital, but it is possible to lead in a way that might minimize these withdrawals and perhaps even allow you to make a deposit or two. In general the way to do this are to be clear, focused on the people changing and be willing to share what you can as openly as possible- both the good and the not so good news. Many of the leadership qualities that can add to your stock of relationship capital when things are changing are reviewed below in the “Rules for Uncertain Times”.

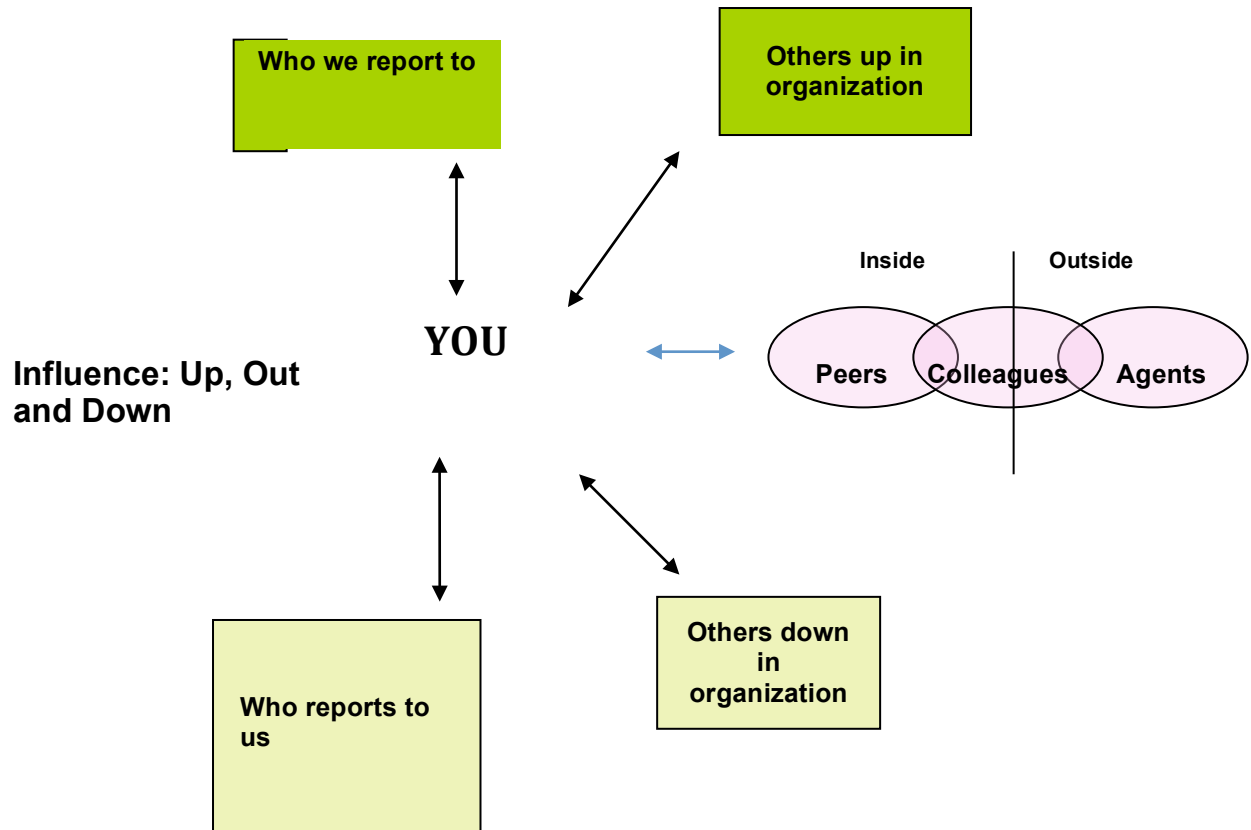
Reciprocity and Exchange – This involves your understanding of the reciprocal nature of relationships that are involved in all influencing situations. It also points to the very real exchange that goes on between parties in order to maintain that relationship and be influential.

Follow through – Your ability to develop and use legitimate power to continuously influence others.

In **Change Work** legitimate power is both the structural power of your leadership position and more importantly the informal power that you derive from using the first five of these qualities. How you use this power to continue to push for change will be a key to success.

A Model for Influence

The chart below captures the three basic directions of influence that any leader will need to manifest in order to be effective. Take a moment to think about which individuals and groups go in each domain for your leadership work.



Influence is a complex undertaking in each of the three basic directions has its own characteristics quality that we will explore over the entire program. In general influencing others involves the development of trust, but it is developed in different ways as we influence in different directions. While not exclusive to any one direction, trust is enhanced **upward by demonstrating performance, support and loyalty**. Outwardly trust is increased as **transparency, accountability and collaboration** grow. When working to improve the relationship and trust downward leaders commit to **motivating, developing and delegating** to those that they need to influence. Again, all actions work in all directions, but they are particularly effective in the directions indicated.

Leadership and Influence Part Two: Reciprocity and Exchange

Much of the basis for an influence shaped approach to leadership is based on the notion that all of our key relationships are **reciprocal**. This means that all sides of any relationship are involved in order to get their needs met and that they will need to feel as if their efforts have been compensated.

Sometimes these needs match very closely and no adjustment needs to be made in order to achieve influence. For instance, if I am leading a group and they have indicated that they trust decisions to be made without direct input from them, because I have generally acted in a way that meets our collective needs, then no real adjustment will need to be made in order for all involved to understand the reciprocal nature of my decisions. However, if that aligned does not exist between by independent decisions and their understanding, then as leader I will need to make some **exchange** in order to gain the appropriate influence. In this instance I may need to actively involve them in the decision making process.

Unlike straight exchanges in the market the **currency** for exchanges in the influence market are highly varied and depend on the situation and the needs, desires and aspirations of those who are involved.

Reciprocity – the two way nature of most relationships and that everyone expects a return for their contributions (good or bad).

Exchange – the adjustments needed to balance the accounts and get as much to alignment as possible.

Currency – the means of making the exchange between the parties involved

There are three key roles for leaders in this model.

First, leaders have some idea about what is in the collective interest of the group and how they will achieve this.. The collective interest is called a **vision** or mission for the group or organization. And the pathway to achieve the vision is called the strategy. Sometimes these interests are determined exclusively by the leader and at other times it is a more participatory effort. Regardless, the leader is responsible for ensuring that the vision and strategies are developed and that they fit in the environment in a way that will lead to success. This task is much more difficult when the environment is unstable.

Second, the leader is responsible for **articulating the vision** to internal audiences in ways that inspires and aligns their work. This means that the vision must be understood from the perspectives, interests and values of each stakeholder group. Externally the leader communicates the vision in a way to attract and secure partners, collaborators and other resources that are needed to advance the vision.

Finally, leaders need to understand the needs of internal and external stakeholders because often an **exchange** will be needed in order to secure an adequate level of buy-in or investment to go forward. Understanding the unique needs of individuals and groups and managing the exchange process is absolutely essential if leaders are to use influence to drive toward success. The means of making this exchange is the **currency**.

What makes influence possible is that we are linked to at least one other person who has some stake in the work that is being done. Without such a stake and the two way relationships that emerge around these interests it is pointless to try to use influence to move ends we desire. It is tempting to think of influence as something we do to others, but in a healthy organization it is both something that we do to others and others do unto us. Reciprocal relations move in all three directions of influence: up, out and down. Regardless of position or power, history or prestige experience or wisdom there are always two players anytime that influence is a possibility. **Reciprocity** means that if I do something for my fellow player I expect to receive something in return and that I have some power over my colleague, even if it is only quitting the game altogether.

Exchange

A reciprocal relationship requires that the engaged parties have a means to **exchange** things that they value. This exchange takes three general forms:

Mutual gain or interest – This exchange is the one that occurs when the involved parties all gain from the success of the enterprise. These stakeholders do not need to share the same gain or value gains in the same way, but all agree that collaborative effort makes sense because of what they will derive from the success of the joint venture, problem solution, new direction or change. This is why the promotion of the common ground and or vision is such an important leadership undertaking. This shared gain is more or less immediate or at least it is clear when and how the individual gains will be received.

Delayed gratification – This form of exchange payment assumes that some time in the future the joint activity will produce value that will be shared that makes an individual's participation and their ongoing engagement worthwhile. The benefits and the schedule of “payments” do not have to be the same for everyone, but everyone that is engaged in this manner will have some idea about what their “rightful” payment should be, when it should be paid and who is to do the paying.

Compensation - Compensation is used when a party needs to be involved does not recognize or does not have a mutual gain or interest in the success of the change or development. In fact, there is a real loss of time, resources, position or power that this party will experience as the change goes forward and they need to be compensated for the loss.

Currency

How one approaches the exchange is critical to successfully using influence. But just as important is the “currency” used to make the exchange. Cohen and Bradford identify five general types of currency that they have observed being used in exchange in organizations. These categories and examples are neither exclusive nor exhaustive, but are offered to demonstrate the many ways individuals give and receive value in the exchange process that makes reciprocity work.

Inspiration Related

- **Vision** of the work that contributes to bigger things
- **Excellence** in what we do
- **Moral/ethical** doing what is right, particularly for the customer

Task Related

- **New resources** to get the work done
- **Challenge** to do something new
- **Direct assistance** in getting the work done
- **Rapid response** to a request for help
- **Information** access of organizational or technical nature

Position Related

- **Recognition** of accomplishment
- **Visibility** to significant others
- **Reputation** as being competent and hard working
- **Belonging** to the organization
- **Connections** with others

Relationship Related

- **Understanding** of concerns and issues
- **Acceptance** of the individual and friendship
- **Personal support** and emotional backing

Personal Currencies

- **Gratitude** appreciation and expression of indebtedness
- **Ownership and influence** over important work
- **Self affirmation** through work of values, self-esteem and identity
- **Comfort/ease** around needed work

What currencies do you have? Take a few minutes to think about your assets. List them in the categories below. Add a category or two if your assets don't seem to fit.

Personal

Inspiration

Task

Personal

Relationship

Position

Understanding and Managing Conflict

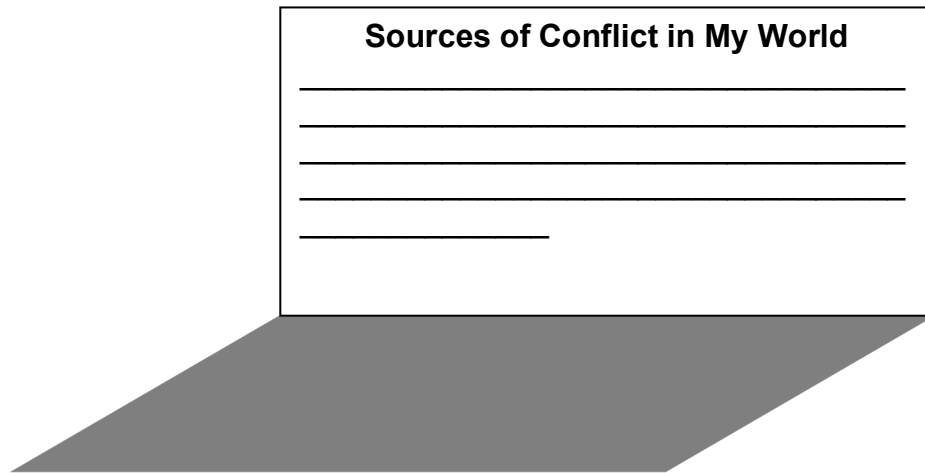
Conflicts abound in our modern, stress filled, world. They almost always represent situations in which two people or groups disagree about what is true or what is important. These different perspectives produce different maps of the world and sense of reality and out to this confusion conflict emerges.

These conflicts are likely to be a product of miscommunication, poor negotiation, preconceived bias or misinformation coupled with faulty extrapolation. Regardless of the faulty basis for the conflict, it is nonetheless real can is likely to feed on itself making for more conflict.

Conflict Definition: Any situation where your concerns or desires differs from another person or group.

What are the sources of conflict in your world?

Sources of Conflict in My World



Mary and Bill's Very Bad Day

Is conflict always negative? We often have conflict around our individual tolerance for conflict itself. Have you ever found yourself in one side or the other of this little drama?

Returning from a meeting with her boss Bill, Mary is notably upset. Her friend and co-worker Sally asks hesitantly, "So how did it go?"

"I can't believe him. I have laid out the best plan for action just like he asked me to. Everything has been considered and was in my strategy. But he won't commit to taking action or even discussing the issues. How many times have we been down this garden path? He is killing the organization with his cowardice."

Sally asks if Mary had sought Bill's feedback.

Responding Mary's eyes widen and she shakes her head negatively. "Are you KIDDING me? I looked him right in the eye and said, 'Bill if there is something wrong here you owe it me to be honest.' All I got back was that usual no, no this is just fine BS. How is this going to get better without communication?"

That night over dinner, Bill's wife asks how his day went. He shrugs, but she stays with it, "so what was it this time?"

He responds recounting the meeting with Mary earlier in the day. "Oh, it is just my burning star Mary, so smart and right and so hopelessly clueless about what her pushing does to the very people she needs to bring along. She has a great plan, but feels it should have been done yesterday. She just doesn't realize she needs to move slowly to get this done."

Bill's wife asks if he has given her some idea about this aspect of her work. In a moment of candor Bill allows that he has tried, but finds engaging her on anything that is less than praiseworthy usually creates more emotion than he can stand.

His wife reminds him that not everyone sees the world as he does.

Use the boxes below to think through what each Bill and Mary contributed both positively and negatively to this situation.

Mary's Contributions

Bill's Contributions

Share your list with a neighbor. How was your perception of valence the same?

different? _____

Why would two successful people have such different attitudes about conflict?

List a few theories that might explain these differences.

Conflict can and is both positive and negative. Too much of the wrong type of conflict can tear an organization, team or unit apart. Too little conflict leaves too much unsaid and leads to underperformance and suppressed differences that eventually erupt anyway as more pernicious type of conflict.

The boxes below offer some insight into these differences.

Constructive Conflict

- **Taps creativity and problem solving**
- **Generates new solutions**
- **Increases involvement**
- **Improves communication**
- **Releases pent-up emotion**
- **Builds cohesiveness**
- **Helps individuals and teams grow**

Destructive Conflict

- **Reduces productivity**
- **Diverts energy**
- **Destroys morale**
- **Polarizes groups**
- **Deepens differences**
- **Spawns additional conflict**
- **Produces regrettable behavior (acting-out)**

How do you contribute to constructive and destructive conflict?

Managing Conflict

So, conflict resolution may be a bit of a misnomer, it is probably best to think about creating, through effective management and leadership, the best environment to manage the inevitable conflicts that will emerge and perhaps to ensure that conflicts or differences are carried out in the most professional manner.

1. Identify Common Ground

One of the first things to establish in managing conflict is what is shared between you and the person or group you are in conflict with. Common ground might be the success of a project, workplace harmony, shared values, individual success any thing that you and the person share or desire in common.

Think about Mary and Bill in our story earlier, what did they have in common?

Now think about a particular person you have been or are now in conflict with. What do the two of you share?

2. Acknowledge and Address Emotions

Conflicts often emerge over basic needs and this inevitably calls us into question basic human motivations. These in turn generate strong emotional reactions which only feed the conflict more. To be resolved conflict situations need to find a constructive way to release these emotions before going forward.

Let's see how emotions play out in a roll play.

What do you think the emotional issues were? Who is to blame?

These five steps will help you get mastery of your feelings.

Step one – Recognize your feelings; don't ignore them to keep peace

Step two – Acknowledge your feelings to the other person involved

Step three- When you are told about their feelings, acknowledge that you understand or ask them to clarify

Step four- Take responsibility for your feelings; don't shift the blame

Step five – If the emotions are too hot, take time to cool off

3. Understand the problem/identify solutions

Hopefully, your and their commitment to the common ground has gotten you through the emotional tension and some of the air has been cleared. Now it is time to use this space to mutually define the problem.

Remember the problem is not their behavior or what you think of them, but a problem you share. There probably are some needs that both of you have that lie behind the problem.

Let's go back to Bill and Mary. What was their problem?

4. Set a Course of Action

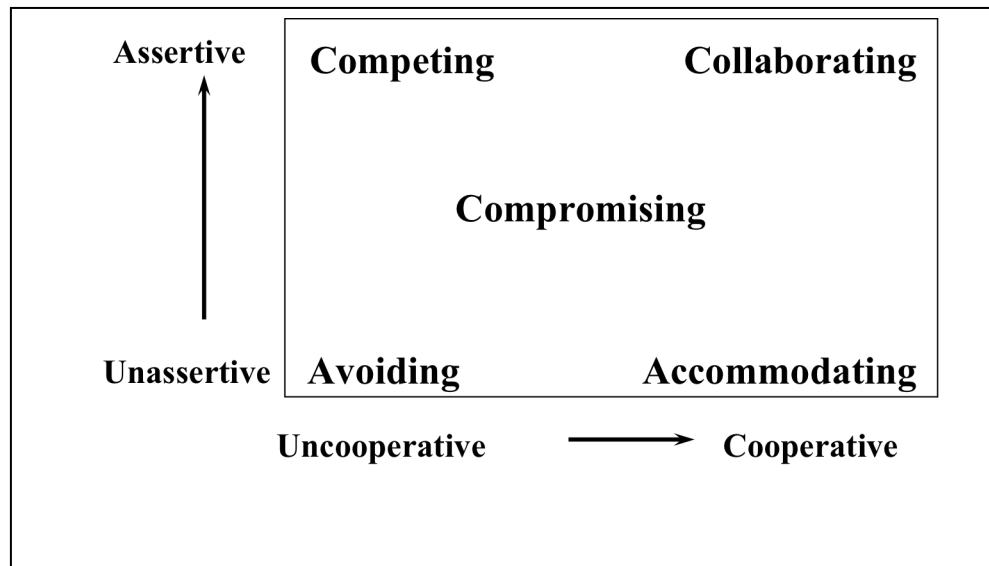
Once you have defined the problem and come up with solutions. It is essential to have everyone agree on a course of action to follow to address the problem.

A written summary of what each party is to do is a great first step.

Factoring Conflict

A useful tool in thinking about conflict is the Thomas-Kilmann conflict model. It allows for two dimensions or drivers for conflict: assertive and cooperative behavior

The Thomas-Kilmann framework below provides one way of thinking about potential conflicts.



- **Competing** is assertive and uncooperative. You try to satisfy your own concerns at the other person's expense
- **Compromising** is intermediate in both assertiveness and cooperativeness. You try to find an acceptable settlement that only partially satisfies both people's concerns.
- **Accommodating** is unassertive and cooperative. You attempt to satisfy the other person's concerns at the expense of your own.
- **Avoiding** is unassertive and uncooperative. When avoiding you sidestep the conflict without trying to satisfy either person's concerns
- **Collaborating** is assertive and cooperative. When collaborating, you try to find a win-win solution that completely satisfies both people's concerns.

Effective leaders respond in a variety of ways to conflict and aim their response at making the conflict as creative as possible. This model assumes that the situation demands which approach to conflict is best for the desired outcome. To frame the conflict and choose the right strategy the six issues we have applied to decision making and negotiation might be useful. The questions for conflict look like this:

1. How important is my relationship with the other person? Am I willing to give it up over the conflict
2. Am I certain which solution or outcome is best? Or is it just my idea? Is the best outcome in some form of collaboration?
3. How important is the issue to me? And is my valuation legitimate? How much do they value this?
4. Do I need the other person's on going buy-in to something? What if I win, but really lose because I no longer have their engagement
5. How much time do we have to resolve this?
6. How is power distributed and how might it change?

Three helpful strategies:

- Choose the best strategy
- Don't push unless you have to
- Use "firm flexibility" when resistance occurs

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Negotiation

“Everything is negotiable”

Some may be deeply offended with this truism. How about a parent’s relationship with a child? How about teenagers?

Negotiations are carried out endlessly throughout our lives and the workday. They rarely reach the level of a formal negotiation table with time set aside to prepare your best case position. Your ability to lead is closely related to your comfort with an ongoing series of negotiations in which you and the people you work with achieve productive outcomes.

Negotiations usually occur when there is some conflict around a critical issue such as clinic coverage, curriculum time, or a disagreement about a problem situation. More often than not the situation ends up being more conflict generating than negotiating a resolution. Conflicts arise when we see the world differently. Many things generate conflict, but five important drivers are:

- Ambiguity
 - Goals
 - Rules
 - Relationships
- Complexity and Interdependency
- Elevated stakes
- Competition and Judgment
- Stress and Pressure

When do you feel most stressed around conflict?

Share these with a neighbor.

Conflicts also become paramount when things are most in flux. Here is a short list of conflict drivers for health care:

Much of the heavy lifting in health care over the coming decades will involve moving people with established interests and well being and moving them to change their realities. Nothing could be more challenging for a leader.

Conflict Drivers in Health Care

- **Cost pressures**
- **Dispersed authority**
- **Mixed interests and outcomes**
- **Complexity and Interdependence**
- **Diversity- professional, ethnic, generational**
- **Rate of change**
- **New rules**
- **Perceived winners and losers**

To overcome the conflict you have three basic choices: ignore it, negotiate a resolution consistent with your world view or negotiate a resolution with mutual world view. Of these two basic approaches to negotiation, one is a zero sum approach in which there are winners and losers and the other is a more collaborative approach.

The first approach is sometimes referred to as a distributive style of negotiation.

Distributive Negotiations

- **Adversarial**
- **Win-lose**
- **Fixed sum**
- **Issues as agenda**
- **Positional**
- **Power or hardball tactic**
- **Zero sum game - Transactional**

Sometimes this approach is absolutely necessary and unavoidable. But if this is the dominant mode for resolving conflict and negotiation, then overtime, more will be lost than gained. An interest based negotiation allows for interest to be advanced, but also broadens these interests.

Interest Based Negotiations

- **Cooperative**
- **Win-Win**
- **Variable Sum**
- **Problems as Agenda Items**
- **Interest based**
- **Mutual Gains**
- **Transforming -Seeks new solutions and reframes**

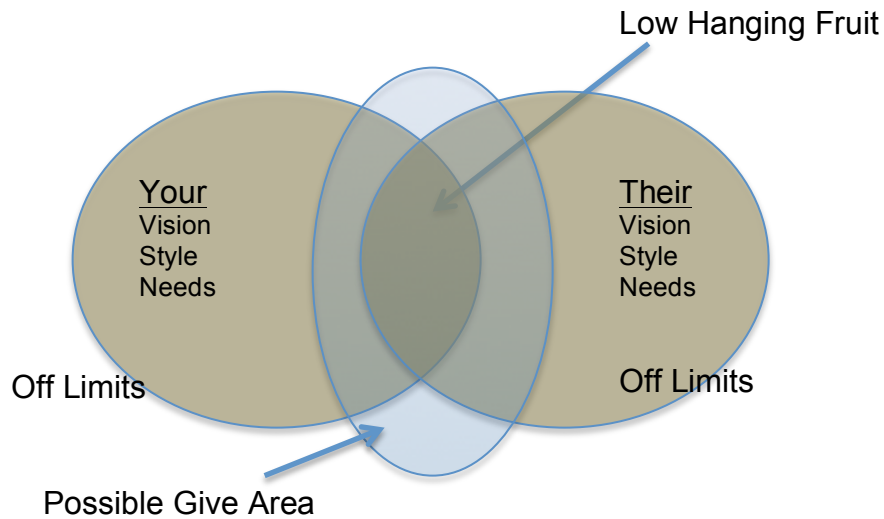
Like motivating and working through others, negotiation works in all three directions: down, out and up. And like motivating others or dealing with conflicts there are typically SIX IMPORTANT CONSIDERATIONS that any leader must be mindful of when entering a negotiation, resolving conflict, or reaching a decision:

1. **Power** – Who holds the formal and informal power and who stands to lose of gain power as we go forward?
2. **Importance**- How important is the issue to you and to your responsibility and perspective in the organization? How important is the issue to the other person or group?
3. **Time** – How quickly does this decision need to be made or the conflict resolved?
4. **Relationship** – How important is the relationship between the parties? Do they both value it the same way? Will this change over time?
5. **Buy-in** – How important is it to have everyone buy-in to the negotiated solution?
6. **Quality** – What are the parameters of a good decision? How is it to be reached? What don't you know about possible success?

All negotiators bring a vision of how they see the world, a style of working and a set of needs. The key to interest based negotiation is discovering and unlocking these for all parties. Don't make the naïve assumption that you or they know what you really desire.

The figure below maps out several important dimensions of interest based negotiations. First, be clear about your vision, style and needs. Next, explore and discover the same for the person or group you are negotiating with. The low hanging fruit is the common ground upon which agreement is easy. Do not take this for granted, affirm it and build off of it. Doing so gives you a chance to build common identity, which will enhance the relationship. Next advance to the areas in which there is not agreement, but ones in which give on either or both sides or some trading back and forth can produce agreement. Finally are the things that are off-limits. Leave these alone for the time being, return to them when there is more shared interest, better understanding and an improved relationship.

Figure: A Model for Interest Based Negotiation



The negotiation process has three key steps:

Preparation – Analysis and Planning

Review vision, aims, needs, style, success in past, the six considerations and what you might share as common ground with the other party.

Discussion –

Affirm the relationship, explore common ground, learn their needs and desires, fears and anxieties, check the agenda and work to do and remember to keep focused on the opportunity to gain or problem to solve.

Agreement and Follow-up-

State what you have achieved, identify next steps if any, reaffirm relationship, and celebrate the success.

Getting Unstuck

Negotiations inevitably bog down. It is easy to react in a hostile fashion which will quickly spin out of control. An alternative is to aggressively take the position that this is in both interests to come to a mutually beneficial position. You might consider gathering more information by exploring new possibilities or asking new questions.

Getting Unstuck

- **Ask them about how they see the situation.**
- **Get them to rephrase and ideal outcome.**
- **Think about their experience and background.**
- **Ask them their greatest fear.**
- **Reaffirm your support of the process.**
- **Share your own anxieties.**
- **Suggest a break.**

Finally, there are some attitudes that can get you in trouble throughout a negotiation. Here are eight common mistakes in negotiations of all shapes and sizes.

1. Holding an irrational commitment to an initial course of thought or action.
2. Anchoring your judgments on irrelevance
3. Being overly affected by how information is presented
4. Ignoring relevant data
5. Failing to learn from the other person's perspective
6. Being overconfident
7. Working from the mythical fixed pie
8. Letting the best defeat the good

Influencing in Uncertain Times

“Have patience with everything that remains unsolved in your heart.
...live in the question.”

— Rainer Maria Rilke, *Letters to a Young Poet*

We have seen how difficult change work is in the best of circumstances. A great deal of change work however is carried out when the situation is less than ideal. Perhaps the environment is very dynamic producing a great deal of disruption. Or maybe the end game is not clear because it cannot be developed for technical or even political reasons. Maybe the leadership is uncertain about exactly which path to choose or how much support for change there will be among the rank and file. Regardless, there is always a great deal of tension around change and it is important that the leader take on the responsibility of helping people cope with transitions of all types.

Much of what can be done constructively in these times is to work with others and ourselves to understand that all things change and that our path should be to understand that resolution and certainty are always impossible to achieve and that no small part of comfort and happiness is letting go of what can not be controlled and focusing on those things that can change.

“As human beings, not only do we seek resolution, but we also feel that we deserve resolution. However, not only do we not deserve resolution, we suffer from resolution. We don't deserve resolution; we deserve something better than that. We deserve our birthright, which is the middle way, an open state of mind that can relax with paradox and ambiguity.”

— Pema Chödrön, *When Things Fall Apart: Heart Advice for Difficult Times*

Role Play

This role play is between Hallie Trench the Executive Director of Big City CareCo an aging and social service affiliate of Statewide CareCo y and her Manager of Community Relations and Program Development, Dan Barton. Observe their interactions and think about these questions:

What to you think is going on here?

Is much being resolved?

Has he situation improved?

What Should a Leader Do?

These situations demand that the leader call on the full range of influencing skills. In addition here are some tasks to focus on:

Establish the common ground,

- What do we value in common?
- What sort of work place do we want to create?
- How do we act together for ourselves?

Be Clear (Vision Work)

- Purpose
- Coherence
- Direction

Set limits

- Don't accept personal attacks
- Respond with reason and understanding
- Establish ground rules for engagement through common ground work

Acknowledge anxiety and uncertainty, responding with empathy

- Do not "make it all better"
- State the situation with its implications, but offer hope and direction
- Do not devalue their concerns

Some Leadership Mindfulness Guides for Uncertain Times

1. **Be Present** - There is a sort of physical presence that is needed during this period. This is not a good time to be absent if at all possible. But perhaps more important, this is a time to stay engaged with others and be aware of their reactions and feelings.
2. **Be Transparent** – This does not mean that you talk endlessly and speculatively about the situation. It does mean that as information comes to you time is taken to share the information with your team and group. It is essential that you focus on what is known, not the fear driven gossip and speculation that will be most of what is discussed. You will not be able to share everything about the change, but give as much of the picture as possible.
3. **Be Positive** – This is easier if you deal with what is known and you are able to indicate faith in whatever process is being pursued. If you have a positive attitude others will focus on this for coherence in dissonant times. It will be important to remind team members that they have done and currently do good work. Their good work has value for them and their professional life, independent of what might come out of the process. Do not be overly or widely optimistic about the future, this will make your position seem unreal. If there are real choices for the future- developing new skills, out placement to another position – then stress these things.
4. **Be Empathetic** – Many people who report to you, who are your peers and to whom your report will have feelings that range from being distraught to mildly anxious. This will impact their work and probably change some of the patterns that you have become accustomed to. When this happens you can help by being an understanding person and remembering that this is a unique situation. It will help immensely if you take the time to sit with them one to one and indicate that they seem stressed and offer them a chance to talk. Encourage them to stick to the known facts, not speculations, and to affirm all of the positive dimensions of the current reality.
5. **Be Self-aware** – You may see it better than most and be following all of the rules above and fail to see that the anxiety is creeping in on you as well. You need to be mindful of this; particularly if you are in a situation in which you are “taking care” of others. When you feel an emotional response welling up do not deny it or explain it away. Experience it and then ask yourself if this is rational, not in the immediate

moment, but in the larger context of your life and career. Be sure to share your feelings and anxieties with a partner either at work or at home. At home, there will be similar anxieties and it will not help if you do not mention them. Talk about them in the way you deal with other problems. Hopefully you have a good work – life balance, this is a time when you will need to call on those life resources including partners, family, friends, avocations, exercise. At a time when work may seem to be at risk, don't let it become even more the only focus of your life.

- 6. Remember what you have learned in leadership class** -This will also be a good time to dust off the MBTI and FIRO-B reports, in times of stress you will go to your preferences and some countervailing preferences may in fact be what is needed for the situation. For instance:

Extroverts might gossip too much.

Introverts might not talk enough about the situation.

iNtuitives might try to get the big picture when it is not possible at this time.

Sensors might focus on irrelevant details and draw too much from them.

Thinkers may focus too much on the work at hand and not see the walking wounded need to talk.

Feelers might spend a little too much caring for everyone.

Judgers might start making all kinds of decisions that really need to be postponed.

Perceivers might take a holiday from any decisions, even those that are needed.

- 7. Be Proactive** – Even if you follow every suggestion it will not keep you from periods of anxiety. When they occur, give yourself some grace and allow that it is happening to everyone. But don't let the “black dog” pull you into the fight. Rather direct the energy to work that needs to be done, regardless of what finally shakes out in the organization. This is what drives your work and what you enjoy. Place the energy somewhere it is useful and will be a good role model for others.

Leading in the Middle: Changing Individuals

To advance your change work you will need to fully engage others who will have an uneven interest, anxiety, and commitment to the change that is underway. Your job is to positively activate and engage as many of these people as possible, but remember it will never be all of them.

- ✓ Articulate the disruptions your group faces to its status quo.
- ✓ Reaffirm what your status quo was built to do (otherwise you solve the wrong problem).
- ✓ Involve them in creating a vision of the new paradigm or status quo.
- ✓ Understand how they see the emerging need to change.

Just because you see it does not mean that they feel it or understand it. Change will occur when you balance emotion and reason in just the right way for each of the key actors.

Here are some frameworks that will help you think about this important part of the change work. Every one of your challenging individuals will be unique, but here are some types that might help to begin with.

Committed Core

Who are they?

These are the easy ones. They already get the challenge and have made some of the emotional adjustment to the new reality. Often times they will be the younger members of the group, but some of the best members of the Committed Core are the original pioneers. They get the advantages that the new approaches to care delivery can afford to both patients and health care organizations. If you are lucky they might be as many as half or more of the group. As a leader you will need at least ten percent of the group to be in the Committed Core or you won't have enough purchase to get the leverage to work.

The Committed Core see themselves thriving in the new paradigm and they either have the skills or desire the skills to make this transition. Interpersonally they may value change for change sake, or at least can tolerate it. They often have a stable personal life to back them up. Just as traditional health providers took pride in being a healer, this group takes prideful identity from being on the cutting edge of change and maybe a bit of a maverick.

Think about some of your colleagues that are in the Committed Core. What attributes do they have?

Who is in your Core?

- _____
- _____
- _____
- _____
- _____
- _____
- _____

What do they bring of value?

- _____
- _____
- _____
- _____
- _____
- _____
- _____

Working with the Committed Core

There are several things you need to do to enhance the value of the Committed Core to your group and the change process. First, don't take them for granted. They have a significant identity in being in the Core and probably have made some sacrifices, at least early on, to be here. So if they think you are ignoring them, it might cause some hurt feelings. Checking in with them doesn't take much time, but they should be often and specific to the interests of each Core member. You will also want to focus their on-going work and development on specific tasks. For instance, if you need them to be a more effective team leader, get them to take a short course to develop skills or even better hire a coach to observe them run a meeting and give them feedback. Investments in them don't have to be large to get big dividends. This will also let them know how valuable they are to you and the organization. You will want this group to have a good understanding of how they have come to be where they are today, what were their initial questions and doubts and what turned them around. Have them tell this story. You might want to get a little training on story telling in medicine for the ones that have a great tale to tell.

Working with the Core

- Ensure their ongoing engagement by checking in.
- Focus their work on particular achievable improvements-their leadership, practice and larger enterprise.
- Get them to understand and tell the stories of their transition.

Muddled Middle

These are the colleagues that aren't quite sure where they are in all of this work and are probably a little conflicted from time to time. They will have an uneven and highly individual understanding of the need for change. Some might feel that "hamster wheel practice" is not workable, but have no idea how to get off the wheel. Others may see the advantages of working differently with the team, but feel as if it is a violation of medical ethics. Some may get it, but are uneasy with the change process. At the heart of much of the confusion and dis-ease will be uncertainty as to whether or not they can be successful in the new scheme of things. Remember that a big part of the old paradigms for clinicians was control. Regardless of what you are proposing you will be asking them to lose control. They may be unclear about the picture you have been developing of the future.

Who is in your Middle?

- _____
- _____
- _____
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- _____

What do they bring of value?

- _____
- _____
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- _____
- _____
- _____
- _____

Working with the Muddled Middle

This is likely to be the largest segment of the colleagues in your group, so moving them forward is important. The Core is ready to be used without a lot of investment, but this group needs more attention, but represents the best return on your invested time. One strategy won't work with them all, but there are probably some affinities. Three large groups are common in many practices, each with a different set of interests and needs. The first group is made up of those colleagues who derive great relationship value with the group. They can move forward faster as you provide this for them. One strategy is to use individuals in the Committed Core who have a relationship with them to help them come to

understand and value the new paradigm. Hearing the stories from the Core will help them. Another group will need to see the big picture in clear relief before they can jump to the new paradigm. They may need to see it work in other settings, hear from experts, or confront the challenges themselves so that they “invent” the new paradigm. A final group likes tasks and things. They may be drawn to the new EMR and willing to work to see it come on line without seeing or understanding how it will change the larger role and practice of their clinical group. This will need to be added in later.

Working with the Middle

- Segment and actively develop each group or individual.
- Repeat tales of success- patients, financial, work-life of the committed core.
- Pair those ready to change with mentors who connect to them.
- Have them assist with larger undertakings.
- Provide new skills, but “just in time”.
- Teach them how to solve problems in the new paradigm.

Distant Detractors

This group though hopefully small gets a lot of your attention and causes much of your anxiety. If they are more than half of the group, it will be difficult to make any real progress by yourself. They resist for a variety of reasons, but basically they do not see any value in the changes that need to come about and even if they do see some marginal advantages, they

resist because they cannot see themselves as being successful in this new world. They often couch their rejections in judgmental terms, “it is simply not ethical”. Conversely they see themselves as protecting the great traditions of medicine and the interests of the patients. This of course makes any change agent the villain or the willing lackey of the villains.

Who are your Detractors?

- _____
- _____
- _____
- _____
- _____
- _____
- _____

Why are they essential?

- _____
- _____
- _____
- _____
- _____
- _____
- _____

Working with the Detractors

Like the Muddled Middle it is important to segment this group into groups. Some are expendable and some are essential. Within these groups you can probably divide them into ones that may be changeable and those that are definitely harmful or toxic and less likely to change.

A grid of these possibilities might look like this.

Factors	Expendable	Essential
Changeable	Not worth the investment even if it represents low hanging opportunities.	High priority for your attention to change. A victory here can help leverage your work with the un-movables in the group.
Unmovable	Focused energy to isolate these with the aim to remove their influence.	While not the first priority, this group merits sustained and steady work. Try to find areas of agreement and work on narrow front.

As difficult as it sounds this group will respond best with questions from you as you try to develop an understanding of the source of their resistance. Efforts to directly convince them to change are not likely to be very useful. Powerful individuals in this domain require individualized strategies. In this category it is essential to recall that change is more about emotion than it is about reason. For all of your good intentions, you are doing many things that are making this situation worse. Sometimes demonstrations of small successes will at least open some for a broader change.

Working with the Distant Detractors

- Ask a lot of questions in order to understand; do not try to convince.
- Decide who among this group is essential, expendable, and harmful.
- Develop a plan for each accordingly.
- Remember two things:
- Change is not about reason, but emotion
- How you see it is how you see it
- Plan on investing “Butt Equity”.
- Do not ignore or avoid attacks without reason.
- Digital wisdom.

Remember that leading change is the greatest leadership undertaking. These are important things to keep in mind:

- ✓ Understand how you see the change and how you feel about the process
- ✓ Develop and share a “Good Enough Vision”
- ✓ Don’t preserve the past; affirm the future
- ✓ Value relationship and communication over task and action
- ✓ But, get to task and action ASAP
- ✓ Plan to learn new things
- ✓ Remember it’s a marathon

Change Work - Conclusion

Leading change is what distinguishes managers from leaders. If you are not having as much success as you need you may want to reframe your work remembering that:

“The challenge of leadership has always been to provide coherence, structure and, ultimately, meaning in times of great change and dislocation.”

But be careful it has always been a challenge. ,

“There is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate a new order of things. For the initiator has the enmity of all who would profit by the preservation of old institutions and merely the lukewarm defenders in those who would gain by the new one. The hesitation of the latter arises in part from the fear of their adversaries, who have the laws on their side, and in part from the general skepticism mankind which does not really believe in an innovation until experience proves its value.

So it happens that whenever his enemies have occasion to attack the innovator, they do so with the passion of partisans while the other defend him sluggishly, so that the innovator and his party are alike vulnerable.”

Machiavelli, The Prince, 1513

Influencing Down: Motivation, Development and Delegation

Leadership means accomplishing work through others. It can be done in a slavish commanding manner that draws on coercion or force or it can elevate others to a higher calling, inspiring them to accept the goals as their own and achieve more than they would have on their own. Most leaders aspire for the latter style, but many stumble and perform more like the former. Effective leaders understand their co-workers innate skills and know how to motivate them to use those skills to best perform the work at hand.

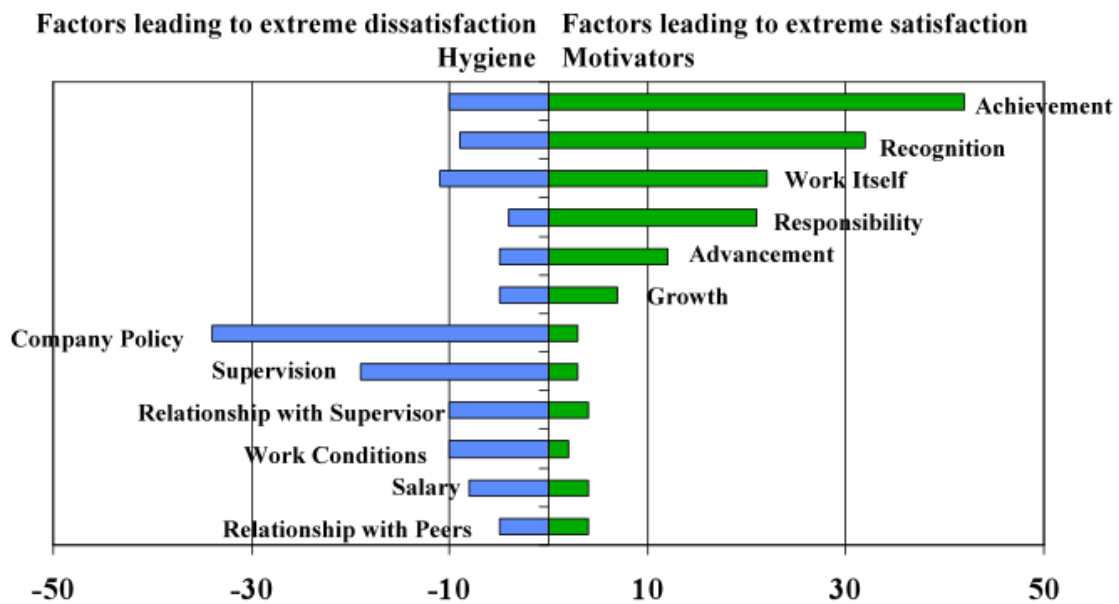
Before we look at motivating others, let's look at what motivates you to perform at peak level. In the space below, write a few ideas about what motivates you in the workplace.

Now take a few minutes to share your motivational profile with a neighbor. How are your profiles similar? Different?

Internal and External Motivation

As the graph below demonstrates, there are typically things that are necessary to prevent job dissatisfaction, but actually do little to motivate once a threshold has been met. Salary, supervision, and work conditions all fall here. Frederick Herzberg called these elements “hygiene factors” in his classic work “The Motivation to Work,” written in the late 1950s.³ Hygiene factors were so called because, if absent, they will lead to an environment of dissatisfaction. Motivators, on the other hand, are other factors that contribute relatively little on the hygiene side of the coin such as achievement, recognition, and responsibility, but give an enormous lift to motivation.

Figure 3.1
Herzberg’s Hygiene and Motivation Factors⁴



Herzberg’s two factor approach has influenced much of how we think about motivation in modern organizations. Sometimes this approach is described as internal versus external motivation. Internal motivation factors, what Herzberg referred to as motivators, are factors that give one a sense of purpose and satisfaction from their work such as achievement and growth. The external, or hygiene factors, are often short-lived and have a “what have they done for me lately” quality. Because of this, hygiene factors often need cyclical application and reinforcement. The two domains are not directly related and can operate independently

³ Herzberg F. *The Motivation to Work*. New York, NY: John Wiley and Son; 1959.

⁴ Herzberg F. One more time: how do you motivate employees? *Harv Bus Rev*. 2003;81(1):87-96.

of one another. For example, an individual can be highly motivated by achievement and recognition in an environment which exhibits poor hygiene factors.

Most of what motivates comes down to four crucial elements:

Competence - Do I have the capacities or skills to do this job or the chance to gain them?

- Are there models for me to follow or training to support my efforts?
- Does someone give me challenging tasks and then coach me?
- Do I build off of strengths, rather than respond to criticism?

Meaningfulness – Do I understand the full significance of this work and does it have intrinsic value to me?

- Is there a culture of caring for individuals?
- Do individuals contribute to the creation of this culture?
- Is there a clear vision of the future and pathways to move individuals toward the future state?
- Does individual work appear coherent to this vision and direction? Am I contributing?

Choice – Have I had some say in choosing this as my work and in directing how it is to be carried out?

- Do I have some opportunities to direct my work?
- Is there space and time for me to bring such judgment forward?
- Do I have the chance to learn from mistakes or am I punished for errors?
- Does information flow freely?

Progress – Do I have clear goals and do I receive regular reports on progress? Are rewards tied to achieving the goals?

- Do employees receive feedback from those we serve?
- Is there an opportunity for employees to improve the work and the work environment?
- Are goals and objectives set and progress measured?
- When goals are achieved is there celebration?

Other ways to frame motivation

These four elements were characterized by Douglas McGregor in 1960 in “The Human Side of Enterprise”⁵ as Theory X and Y. Theory X aligns itself with an older traditional idea that people work best in a highly structured setting and a “command and control” line of authority. Theory Y is built on a world which values participation and self-directed work. The approach taken in this lab book is closer to Theory Y and encourages leaders to think

⁵ McGregor D. *The Human Side of Enterprise*. New York, NY: McGraw Hill; 1960.

through the tasks at hand, the skills of the individuals involved, and how to actively engage them in the work, even if it takes longer at the outset.

An interesting recent development to this approach to motivating and developing others comes from the emerging field of behavioral economics. One of the leaders in this field, Dan Ariely, has explored our motivations when they are driven by social norms as opposed to market norms. His observations are that the patterns of motivations are entirely different. We will help a neighbor do backbreaking physical labor, which we would refuse if someone offered us money for the same work. If our motivations have been social and then we are offered monetary enticements the social motivators will soon erode and be difficult to bring back. Think about the evolution of professional motivation over the past 40 years in health care and how it has changed from an ethos driven by social obligation and service to one increasingly influenced by the market.

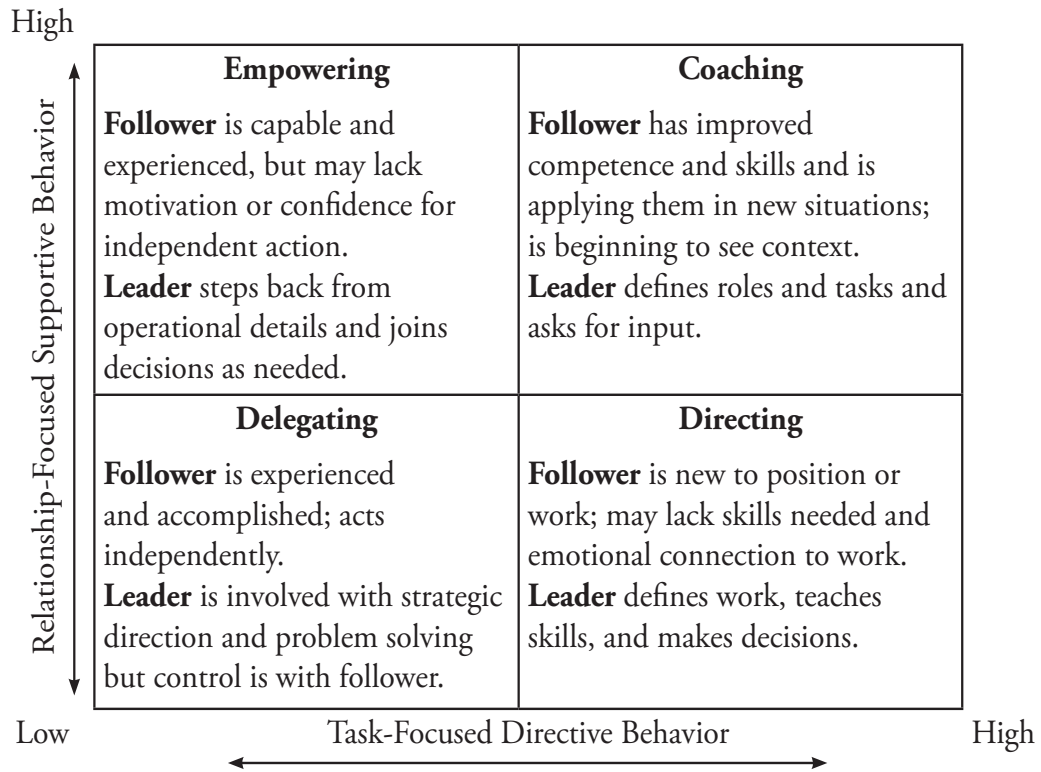
Leaders inspire engagement through social attachment between themselves and their followers. Market-based relationships might inspire, but they will soon erode the power of the socially-based drivers.

Situational Leadership

Kenneth Blanchard and Spencer Johnson, authors of “The One Minute Manager,”⁶ developed a grid to assist leaders in analyzing the situation and choosing the right leadership style for the person and the moment. This model frames two large dimensions of work-tasks and relationships in the context of the skills and motivations of the followers. This provides insight into the leadership style and decision-making approaches that leaders should consider. It is a developmental model, meaning that individuals typically move from the bottom right hand box in a counter clockwise manner as they learn the skills and develop commitment to the work.

⁶ Blanchard K, Johnson S. *The One Minute Manager*. New York, NY: William Morrow; 1982.

Figure 3.2
Personnel Development Model



It is important to remember that relationship has two meanings in this grid. It is concerned with both the human relationship of the leader to the follower and the relationship and understanding of the follower’s work to the overall strategic work of the organization.

Balancing task and relationship development

Each of the four quadrants requires a different response from the leader.

In the **directing** box, the leader is responsible for taking a person who is new to the job or has some new job responsibilities. The leader should focus on:

- providing specific direction to the follower
- assessing the followers abilities to do the work
- determining where and how these skills can best be developed
- redirecting their work as needed

This can be very demanding work, requiring a great deal of dedicated time by the leader. Leadership work in this quadrant is not as concerned with teaching how the work fits into the overall picture or in deepening the relationship with the follower.

As the follower demonstrates the basic abilities to carry out the work, then the leader moves the follower to the **coaching** box. This is the most labor intensive of all four quadrants and requires active engagement by the leader on all three developmental fronts: competence, context, and relationship. Leadership work in the coaching box includes:

- continuing to direct and monitor tasks as needed
- involving the follower in more strategic discussions
- engaging the follower in some decision making that is related to the work
- explaining the political context and significance of the work
- connecting the work to broader strategic issues in and out of the organization
- building a closer personal relationship that is characterized by trust

As more competence, ability for independent judgment, and trust are developed, the leader should move the follower to the **empowering** box. This quadrant involves the leader moving away from the follower in a series of intentional steps in which more and more independence of judgment and action are encouraged. In this phase the leader should focus on:

- understanding the unique learning and development needs of the follower
- assigning projects that have greater scopes or responsibility and independence
- identifying projects that are more complex and challenging
- being available for ongoing consultation as the work of the follower unfolds, including post-mortems on all projects

During this phase of development, wise leaders use delegation to give themselves more time and to develop their subordinates.

The final phase of development is **delegating**. In this phase the follower can act independently of the leader in terms of technical skills and political context. High levels of trust have been developed, allowing the follower to bring concerns as needed back to the leader. Leadership behavior here should include:

- promoting independent judgment and action
- encouraging new strategic direction to be initiated by the follower
- promoting them into more external work in which they are the representative of the organization

Seven common mistakes on the development grid

1. Moving the follower to coaching when the competence or skills can't be learned.
2. Too long or too crowded in the coaching box.
3. Moving directly from directing to delegating.
4. Inadequate distribution of people in all boxes.
5. Thinking that delegating for one thing is delegating for all things.
6. Reluctance to keep those that perform well in directing or empowering.
7. Keeping followers in delegating when they need to leave.

<p>Empowering</p> <p>4.</p> <p>6.</p>	<p>Coaching</p> <p>2.</p> <p>4.</p>
<p>Delegating</p> <p>3. ←</p> <p>4.</p> <p>5. →</p> <p>7.</p>	<p>Directing</p> <p>1.</p> <p>3.</p> <p>4.</p> <p>5.</p> <p>6.</p>

Situational Leadership & MBTI Type

You can use situational leadership as a tool to quickly determine how to manage a direct report in a specific situation. Matching your leadership behavior to your direct report's current needs will help develop that person and lead to the best results. Your Myers-Briggs type provides information about which leadership behaviors are naturally easier for you and which ones you may need to develop. This page guides you through a real-life application of situational leadership and prepares you to use your type to lead better.

1. *Choose* one of your direct reports: _____
2. *Write* one task this person is working on: _____
3. Consider this person's skills, motivation and dependability regarding this particular task. In the grid below, *circle* the situational leadership behavior you think this person requires from you at this point?

4. *Put a box* around the leadership behavior you think you are currently providing to this person on this task?
5. *Make a few notes* about how your leadership behavior in this situation matches or does not match the current needs of your direct report. If they do not match, how might you change your leadership behavior to match your direct report's needs?

↑ relationship High	EMPOWER Share ideas and facilitate in making decisions	COACH Explain your decisions and provide opportunity for clarification
	DELEGATE Turn over responsibility for decisions and implementation	Direct Provide specific instructions and closely supervise performance
Low	← Task	→ High

_____ ↓

6. In general, which leadership behaviors are you most comfortable with? How does your Myers-Briggs type contribute to those being easier for you?

7. Which leadership behaviors are most challenging for you? How does your Myers-Briggs type contribute to those being more challenging for you?

Situational Leadership adapted from Paul Hersey.

Guiding the behavior of others

This topic could suffice for the entirety of a leadership text, but there are six general rules to remember when shaping and guiding the work and behavior of others.

Common Context

It is essential for the leader to create a common text for the work of everyone she needs to influence. Certainly this is essential for those that report to the leader, but influence *out* to peers and *up* to superiors is just as crucial, if not more so today.



Common Context provides a

- similar view of the end game and success
- shared set of values, culture, and expectations
- comprehensive view
- chance to both give and receive feedback

How I Provide Common Context

Areas I Might Improve On

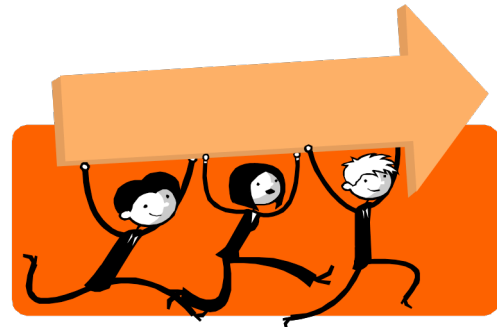
Guiding the behavior of others

Clear Goals and Process

The general direction is one thing, but an effective leader must also translate these into clear goals and a process to achieve them. Obviously some will derive more motivation from the general direction and others will find more energy in knowing what is to be done. The effective leader offers both.

Clear Goals and Process are

- linked to the common context
- understood by all
- often specific if not written
- shared and of interest to all who need to be engaged
- systematic and tied to highly reliable mechanisms for implementation



Are you better at context or goals?

What is the cost of overemphasizing one over the other?

Guiding the behavior of others

Capability

Too many leadership problems arise out of inadequate assessment of the basic skills of those doing the work. It may be a high order task, but if the skill set is not in everyone is set up for failure.



Capability is ensured when

- Skills are in place
- Attitudes are aligned
- Those participating are willing to make the effort

How does your organization
stumble around capability?

Who assess your capability and
gives you feedback?

Guiding the behavior of others

Coaching



The people you are working through will need ongoing development and growth. This will take your time as you are the coach they need and the one that will inspire them to even greater success.

Coaching is successful when it

- Recognizes gain
- Focuses on improvement
- Is instructive
- Balances reason and emotion
- Is informal and frequent

What attributes do you have that make you a good coach?

Where have you stumbled as a coach in the past?

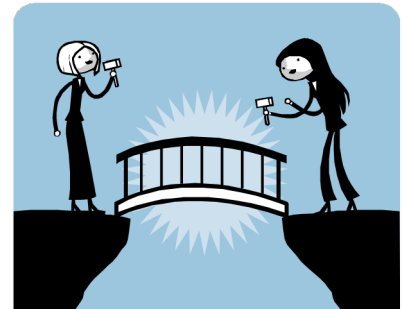
Guiding the behavior of others

Confrontation

A number of problems that might be addressed simply and directly are left to grow into major issues. Confronting development needs positive and negative as they arise moves the leader in to a much more powerful position. But people need room to grow so being too aggressive can alter development in a negative way. A fine balance is needed.

When confronting

- Tie it to a specific, agreed upon, work related goal or activity
- Use real data on performance or behavior and its impact on you or others
- Don't speculate as to their motivation



What are your strengths around confronting others?

What are your weaknesses around confronting others?

Guiding the behavior of others

Consequences

If the rewards don't follow those who actually change, then the change will disappear.

When dealing with consequences remember:

- Rewards vary in their effectiveness from individual to individual
- Sanctions are sometimes necessary and should always be clear and direct
- Consistency is of consequences is essential, nothing is worse than mixed messages and uneven and unfair application



What are your favorite ways of rewarding?

How do you remain objective when you use consequences?

Getting It Done

Leaders and managers that do not adequately motivate and develop those around them may simply not see this as an important undertaking. They may prefer to recruit those already fully skilled and developed. Others understand that this is an ongoing task requiring the following:

1. Knowledge of each person's past experiences, current competencies and aspirations for professional growth.
2. Goals that are agreed upon to achieve these aspirations.
3. A plan to address the goals which uses various approaches and learning styles.
4. Stretch experiences that are a part of the work setting.
5. Time allocated to coach, review and redirect.
6. Willingness to raise and address hard issues.

The Importance and Art of Delegating

As managers move up from individual leaders to managers and even more when they become leaders, one of the most difficult things for many of them to do is to properly delegate. As most of you have risen “up through the ranks” you’re very familiar with all the details of a department’s functions; how everything works and how it is “supposed to be”. However, you’re no longer tasked with personally contributing the work product or even running the functional area but in leading and that is impossible without delegation.

Developing and using good delegation skills is essential to your being a successful leader. It saves time, it develops individuals around you, it prepares everyone for uncertain times and it serves to motivate and inspire. But it has to be done in the right way. If done poorly many of the opposite of these things happen and your effectiveness as a leaders decreases.

Delegation is important as it motivates others, it develops others, frees up our time for more strategic thinking.

Next to doing a good job yourself, the greatest joy is in having someone else do a first-class job under your direction.

- William Feather, American author and publisher

Why don’t we delegate more often?

- It is easier for us to do it ourselves
- Don’t trust others to do it our way
- Lack confidence it will get done right, on time
- We are insecure in our position

Result:

- We are working too hard
- Can’t get everything done
- No time for reflection or long term planning
- Not developing our employees
- Likely not achieving balance in our work/outside lives

How to Delegate Well:

Communicate – be crystal clear on what and when, and less about how

Set time frames and goals

Get out of the way – better development if the person learns for themselves how to do something

- Give the person a whole task to do.
- Ensure person understands exactly what you want them to do.
- Share your vision with them.
- Identify milestones when you want feedback about progress.
- Identify the measurements or the outcome
- Thank and reward the staff person

Who to Delegate To:

This is often the hardest part of delegation – being confident that the person to whom you delegate can “catch the ball”. Important to recognize that they might not:

- Complete the task as quickly as you – so leave extra time
- Do it the same way you would have – but if the end result is on target, let it go
- Have all the information and experience you do so share what you have – be more explicit than you might have otherwise

Delegation Drill Down

List 3 – 5 projects that you could delegate now. Identify who you could give this delegation to. What would the downsides be? Things like – slower, less well done, they are busy. What is the upside for them and you? What is going to be needed for this to be successful, things like- time, skills, communications, and psychological comfort.

Project	To Whom	Downside	Upside	What is needed?

What, if anything, is keeping you from delegating these projects?

Delegating and MBTI: Jot down your MBTI preference letters _____.

How do you think this set of preferences helps you in delegating? Where might they lead you to stumble?

Now let's drill down even more. Select one of the possible delegable tasks from you list. Use the questions below to guide you through the process.

1. Identify the task to be delegated: Is the task is suitable to be delegated. Does it meet the criteria for delegating?

Task: _____

2. Select the individual or team: What are your reasons for delegating to this person or team? What are they going to get out of it? What are you going to get out of it?

Individual or Team: _____

Pluses for them: _____

Pluses for me: _____

3. Assess additional skills and understanding needed: What will be needed for the team or individual to be successful? Are they clear about the goal and understand the context? What can I do to enhance understanding? How independent will the be?

What will be needed: _____

4. Desired outcome: What is the desired outcome of this project? What must be achieved? Clarify understanding by getting feedback from the other person. How will the task be measured? Make sure they know how you intend to decide that the job is being successfully done.

Desired Outcome: _____

5. Resources needed: What is your assessment of the people, equipment, money, materials, space and other related activities and services need to be successful. What do those that will implement think?

Resources:

6. Timeline: What is your estimate of the length of the project, at what points do you want to see progress, how is this to be communicated?

Rough time line:

7. Communications and Feedback: What are the agreed upon plans for on-going communication about the project that has been delegated? How will the need for any mid-course correction be determined and communicated? Which other stakeholders need to know about the delegation?

Communication Considerations:

Take a minute to share this with a partner and discuss where you anticipate challenges?

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Influencing Out

Influence out means working with others who have similar levels of formal power as we do both within our organizations and, increasingly in health care, outside to other practices, hospitals and organizations. The keys to influence in this realm are transparency and collaboration.

Collaboration

Most of us work in organizations where collaboration and negotiation are daily affairs involving peers, bosses and direct reports. How we go about this process is crucial to our leadership success. But most of us have at least a little anxiety around the processes associated with these vital leadership functions.

In reality these processes are difficult to separate, but we will look at them as two different undertakings and then look for ways they overlap. Like most leadership processes this one involves some balancing of vision, task and relationship. The particular items that are crucial are reviewed in the box below.

Collaboration Preconditions

- ✓ Adequate common ground or shared agenda to go forward
- ✓ Understanding of the position and desires of others in the collaboration
- ✓ Willingness by all parties to change or give up positions
- ✓ Willingness by all parties to share knowledge, resources, credit and effort
- ✓ Skills to balance emotions and relationships
- ✓ Ability to tolerate style differences and build a common culture
- ✓ Transparency regarding rewards and distribution of gains

Midway and Smith

Let's look in on a bit of conflict that may be emerging around a potential collaboration.

Tom Midway has just been given the lead on a new undertaking. Jeri Smith is a key participant to the success of the undertaking and we are about to see Tom begin this new collaborative relationship.

Take notes below on what you observe:

Midway and Smith Questions

Who seems to be in the right in this negotiation?

Do you think that issues were surfaced and resolved?

Do you have much hope that this will come out all right?

Has Tom advanced a leadership position?

Have Jeri's concerns been addressed?

Building Collaborative Frameworks

Leaders and managers fail everyday because they do not fully appreciate that as good a strategy might be, or as rational as a new policy might seem, the real test to successful implementation is working the political side of the issue. Tip O'Neill's famous quote that "all politics is local" is at the heart of this but we might reframe it to be "everything has politics". The first step in building consensus is good political analysis. To achieve this you must:

- ✓ Understand the networks, relationships, anxieties, jealousies and power that exist around your issue
- ✓ Comprehend how each stakeholder group or individual understands the change and values change in general

- ✓ Be clear and systematic about what you are proposing
- ✓ Develop good channels of communication in order to fully understand how the change is being perceived

This much active communication will challenge you to adjust your vision, strategy and plan to incorporate the perspective of others. Their input is important and essential if the plan is to move from one person's dream to a shared vision to an operating reality. Judging how to achieve this balance is not easy. Visions that are rigid and never change tend to alienate and become stale; those that change constantly leave people unable to support them because they are never sure if there is really something there.

But beyond such analysis the practice of politics will be essential. This is a complicated process and it involves cultivating and gaining consensus. Consensus is gained by:

- being clear about what you want to achieve and why
- understanding others and their interests, desires and anxieties around your vision
- acting in an honest manner,
- maintaining a broad perspective that can broaden to accommodate the needs of others, and most importantly,
- assisting others achieve what they most want.

This last act requires you to be sensitive to these wants and learn how to balance a wide ranging set of needs that all feed into the swirl of politics that surround your change.

Keeping your head in this process is not easy, but it is an essential part of the game. Here is a way to approach this systematically.

Other people and groups bring both interests and relationships to any change process. The more you understand these, the better able you will be to move your agenda forward. Remember, moving your agenda forward may mean changing it to create opportunities for others to advance their interests. Part of this comes from understanding your interests and translating them into a context in which they can be understood by others and part of it is actually adapting your proposals to serve others interest.

Influencing Up

We never really have the supervisor or boss we deserve. But that is OK, the people who work for us don't have what they deserve either.

Leadership up is just as essential as leadership down and out and because of that influencing up is a vital skill for success.

You are responsible for the relationship with the person you report to. This may not seem fair, but the sooner you get over this, then the sooner you can get to work improving the relationship.

Let's look in on a situation of influencing up.

Setting:

Dr. Sam Brite is six months into his directorship of a division of a major cancer research institute in the Northwest. He is new to the institute, hired in as director because of his scientific accomplishments. In most dimensions he is progressing well, but one of the senior investigators and leaders, Mabel Dodge, seems to continue to publicly and privately object to his leadership. Dr. Brite likes the give and take of ideas and input from everyone, but he also knows that the team must be cohesive if it is to perform to the level of everyone's expectations. Mabel heads one of the groups he directs and he knows was a candidate for his job.

Dr. Brite has asked to see Dr. Dodge this afternoon.

What do you see going on here?

Fortunately influencing up is driven by the same six elements that drives influence out and down, but these just need a little extra spin to work up.

Self-awareness – There are several key things you need to know:

- how you fit in
- your role in the overall plan
- where you are going
- what you need to develop to get
- and, most importantly, how you feel about authority (the type over you)

Needs of others (the boss)- This will not be as easy to gather as it is from colleagues and subordinates and a misstep here can have larger consequences. But in the most straightforward way you need to gather these facts.

1. How does the boss see success for the unit?
2. How does the boss like to work with subordinates?
3. How does the boss like to receive information?
4. How involved does the boss need to be in decision making and oversight?

5. How does the boss see you and your development?

Knowing all of these will be essential to your being effective in influencing up. Most of these questions can just be asked in a straight out fashion, but remember the boss may not know the real answer for what he or she really wants or needs. You should help clarify the answer.

Common ground – Hopefully the boss has set the vision, expectations and rewards, but if not help them out by becoming the advocate for a common ground well beyond your interests. This will mark you as an unselfish team player and will enhance your ability to influence up, directly to a boss or indirectly to others that you will need to influence.

Relationship capital – The best way to build capital up is to make the work easy for those up in the system. Be results orientated. When asking for things make a focused case with a strong cost-benefit analysis. Don't be needy. If you need stroking you are not getting don't insist that the boss provide it. Develop the capital all around. Most bosses are savvy enough to observe when people work well with others. It carries forward.

Reciprocity and Exchange – Don't be afraid to ask what you need to be able to deliver the common ground the boss has defined. Knowing what is needed and sharing when you can makes the exchange work. .

Power – A good relationship up brings access to information, decision making, resources and opportunity. These are the building blocks of organizational power.

Summary

Leading change involves several important steps. Here are the key questions that leaders at any level of the organization should ask themselves.

1. What is it that we do and how does the changing environment now challenge this?
2. Do I understand these changes? How do I feel about the changes?
3. How do both disrupt the status quo and bring coherence to the new direction?
4. Who needs to be involved in the new direction? What do they want, need, fear and like and how does this fit into my change strategy?
5. What influencing capital do I have?
6. How does it fit with the needs of others?
7. What is my plan for enhancing my influence and advancing the change?