Stony Brook University

The official electronic file of this thesis or dissertation is maintained by the University Libraries on behalf of The Graduate School at Stony Brook University.

Ready, Set, Change: An Exploratory Case Study of Readiness for Change Within

Five New York State Voluntary Child Welfare Agencies

A Dissertation Presented

by

Jennette Allen-McCombs

to

The Graduate School

in Partial Fulfillment of the

Requirements

for the Degree of

Doctor of Philosophy

in

Social Welfare

Stony Brook University

December 2014

Stony Brook University

The Graduate School

Jennette Allen-McCombs

We, the dissertation committee for the above candidate for the
Doctor of Philosophy degree, hereby recommend
acceptance of this dissertation.

Pamela Linden, PhD – Dissertation Advisor
Assistant Professor
Stony Brook University School of Social Welfare

Richard Morgan, PhD - Chairperson of Defense
Graduate Program Director, Clinical Associate Professor
Stony Brook University School of Social Welfare

Rachel Anna Hayward, PhD
Assistant Professor
Stony Brook University School of Social Welfare

Nina Esaki, PhD, MSW, MBA – Outside Member
Director of Research, Sanctuary Institute

This dissertation is accepted by the Graduate School

Charles Taber
Dean of the Graduate School

Abstract of the Dissertation

Ready, Set, Change: An Exploratory Case Study of Readiness for Change Within

Five New York State Voluntary Child Welfare Agencies

by

Jennette Allen-McCombs

Doctor of Philosophy

in

Social Welfare

Stony Brook University

2014

Each year, significant financial resources are expended to implement new policies and programs in an attempt to facilitate organizational change (Fleming, Culler, McCorkle, Becker, & Ballard, 2011). In 2007, the New York State Office of Children and Family Services (OCFS) collaborated with Andrus Center for Learning and Innovation (ACLI) to implement the Sanctuary Model of organizational change within selected voluntary residential child welfare programs that serve youth with behavioral, emotional and social challenges. Since these organizations typically have bureaucratic structures in which culture is maintained through a set of rules and regulations, change may be particularly difficult (Dickinson & Perry, 2002). Research has shown that the leading causes of unsuccessful change efforts are insufficient confidence (efficacy) and collective motivation (readiness) (Kotter, 1995; Kotter & Schlesinger, 2008).

This qualitative exploratory study examined the organizational change efforts within five New York State voluntary child welfare agencies through the lens of Armenakis, Harris, and Feild (1999) five dimensions of readiness. The study aimed to validate and expand the organizational readiness for change theory which suggests that when organizational readiness is high, staff members will engage in behaviors that support change efforts and even go beyond job requirements and role expectations to ensure successful implementation (Armenakis & Harris, 2002; Weiner, Amick, & Lee, 2008). A directed content analysis was conducted and included

the analysis of previously collected documents from each of the five agencies. In addition, interrater agreement was calculated to ensure reliability.

Findings from this study suggest that those agencies which exhibited more elements of readiness were also more successful in implementing organizational change. In addition, the extent to which the organizations articulated vision and idealized goals was found to be essential in creating readiness. The level of interaction with a knowledgeable, dedicated mentor also significantly impacted implementation outcomes.

Since the federal government has recognized readiness as an important component in the adoption of evidence-based practices, it is imperative for child welfare agencies to understand and measure organization readiness. A number of implications for social work education and practice, future research recommendations as well as policy implications are presented.

Table of Contents

List of Tables

List of Figures

Acknowledgements

I gratefully acknowledge the support and guidance of the faculty of Stony Brook School of Social Welfare, most particularly my advisor Dr. Pamela Linden. Without her thoughtful encouragement and careful supervision, this dissertation would have never taken shape. In addition, thank you to Dr. Richard Morgan who introduced me to Organizational Theory, and whose enthusiasm will have a lasting effect. I am also grateful to Dr. R. Anna Hayward and Dr. Nina Esaki for their contributions to the direction and richness of this research. I am truly blessed to have spent time in their tutelage.

Many thanks go to the child welfare organizations that participated in this study and so generously shared their information with me. My gratitude also goes to the New York State Office of Child and Family Services and to the Child Welfare Training Program at Stony Brook University School of Social Welfare for allowing me access to the data.

Finally, thank you to all my friends, cohort members and family for unwavering support and for their steadfast belief in my abilities. I extend my deepest thanks to my amazing daughters, Natasha and Faith for giving me the time and space to be a student and still be "mommy". I will miss our Sunday afternoons doing homework at the dinner table. Thank you to my husband Kevin for just being there and quietly supporting me. To my parents, Ezra and Margaret who gave me their gift of persistence, patience and humility, I am forever grateful.

Chapter I: Introduction & Background

The Child Welfare System

The term "child welfare system" describes a continuum of services that includes child protective services, family preservation, family foster care, group homes, residential facilities, adoption services, and kinship care services (Whitaker, Reich, Reid, Williams, & Woodside, 2004). When child welfare first became a formal organized practice in the United States services were delivered by voluntary private non-profit or faith based organizations with a great deal of public support (Schorr, 2000). These organizations received grants or subsidies from local governments, but services and programs were privately operated (Lee & Samples, 2008). In the 1930's, with the introduction of federal social security, the concept of public social services, including child welfare, emerged (Kamerman & Kahn, 1993, 2001). Over the next 50 years the nation's child welfare system was operated by state governments and became known as public child welfare. The primary function of these State agencies was to investigate allegations of child maltreatment and to ensure the safety, permanency, and well-being of children. However, private voluntary agencies continued to provide distinct services such as counseling, home visiting and foster care home recruitment (DePanfilis & Zuravin, 1999; Lee & Samples, 2008). Following the model of managed health care in the 1990's, public child welfare agencies began contracting with private voluntary agencies to provide case management services in an effort to decrease the role of state government, improve service quality and contain costs (Rosenthal, 2000). This trend continues today.

In New York State, private voluntary agencies provide services and case management to the majority of children and families that are served by the child welfare system, while public

government agencies conduct investigations of maltreatment; provide specialized services, and oversight. Through the years there have been several outcries to reform the child welfare system (DePanfilis & Zlotnik, 2008). The call for change often occurs as a result of a mandate from some governing body, the introduction of a new evidence based technology, or employees of the organization recognize that their way of doing business has been ineffective and there is a need to change. For example, in 2006 following with the highly publicized death of a 7 year old girl well known to the child welfare system who was murdered by her mother and step-father, the media and child advocates were very critical of the New York City Administration of Children Services (ACS) and demanded organizational reforms. As a result, Commissioner of ACS developed an action plan to change the technologies used to improve child safety. The plan, formally known as "Safeguarding Our Children" required the implementation of CHILDSTAT, a computerized measurement tool to review a sampling of open and closed cases to examine the quality of case worker practices. In addition, funding for preventative services was increased by 9 million dollars, more than 600 new caseworkers were hired to reduce caseloads, and ACS established the Leadership Academy for Child Safety to provide continuing education for front line workers (Administration for Children's Services, 2006).

Recently, the New York State Office of Children and Family Services (OCFS) expanded its focus on child safety and permanence to include child well-being which encompasses enhanced assess to mental health and educational services and enhanced support for caregivers. This new emphasis on child well-being resulted from an analysis of data from the Child and Family Service Review (CFSR) conducted in 2008 by the Children's Bureau of the United States Office of the Administration of Children and Family. Findings from the study indicated that OCFS was not in "substantial conformity" on indicators of well-being including; child and

family involvement in case planning, educational needs of children and mental needs of children. To respond to the need for enhancing and establishing well-being for every child that comes in contact with the child welfare system, OCFS developed a Tiered Framework for Promoting Healthy Development and Well-being (Figure 1.1) which includes the need for intensive interventions, targeted social and emotional supports, safe supportive and responsive relationships and nurturing environments. On the foundation of the framework is the need for a knowledgeable and effective workforce. The OCFS suggests that organizations should have "trauma informed strategies in place [and] policies, programs, and budgets that support the use of evidence based screening, assessment and practices" (NYS Office of Children and Family Services, 2013, p. 11). This shift from the sole focus on safety and permanence to the inclusion of evidence based, trauma informed practice represents a significant change for many child welfare organizations and will require workers to acquire new knowledge and bring about an overall culture change.

Fig. 1.1: Tiered Framework for Promoting Healthy Development & Well-being[1]

---

[1] Adapted from: New York State Office of Children and Family Services (2013). Promoting the well-being of children, youth and families in child welfare. Retrieved from http://ocfs.ny.gov/main/cfsr/Promoting%20Well-Being2013.pdf

Organizational Change

The definition of organizational change is broad and its description varies with the unit of analysis. At the most basic level, change is a phenomenon of time, a product of an intervention or the outcome of something that occurred (Ford & Ford, 1995). More than three decades ago researchers began conceptualizing the process of change within individuals. J. O. Prochaska and Diclemente (1983) theorized change in five distinct stages. In the first stage, Pre-contemplation, individuals are either unaware of the need to change or have no desire to change. In the second and third stages, "Contemplation" and "Preparation", individuals become aware of the need to change and begin to initiate the steps toward the fourth stage "Action" when change behaviors are initiated (J. O. Prochaska, Diclemente, & Norcross, 1992). The goal in the final stage "Maintenance" is to sustain newly acquired behaviors and prevent a "Relapse" to the pre-change state of being. J. O. Prochaska (2008) argues that as individuals progress through each stage they consciously weigh the costs of changing against the benefits of staying the same. Although originally conceived to help understand the behaviors of individuals, in 1999 the team of J.O. Prochaska and J.M. Prochaska effectively applied the transtheoretical model to organizational change (Levesque, J.M. Prochaska, & J.O. Prochaska, 1999; J. M. Prochaska, 2000; J. M. Prochaska, J.O. Prochaska, & Levesque, 2001). They found that the stages of change model can be applied by leaders within organizations to reduce resistance, increase participation and increase retention (J.M. Prochaska, J.O. Prochaska, & Levesque, 2001).

Van de Ven and Poole (1995) defines organizational change as "an empirical observation of difference in form, quality, or state over time in an organizational entity" (p 510). Change often results in differences in how an organization functions, who the leaders are, how leaders allocate the organizations resources and the shared beliefs of its members (Herscovitch & Meyer,

4

2002). According to Schein (2010) , these shared beliefs encompass the culture of the

organization. He conceived organizational culture as:

> A pattern of basic assumptions, invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration that has worked well enough to be considered valid and, therefore, taught to new members as the correct way to perceive, think, and feel in relation to those problems (Schein, 2010, p. 9).

This way of thinking about culture considers both cognitive and behavioral patterns as members

learn historically accepted rituals and assumptions that are passed down to new members through

their actions and behaviors. Organizational culture can then be viewed as a variable that can be

controlled or manipulated to promote change. The theoretical assumption is that by

implementing new innovations and policies within an organization that are aimed at changing

behaviors, the culture of that organization will ultimately change. Glisson and Green (2011)

suggest that efforts to improve child welfare services outcomes could benefit from a better

understanding of the organizational culture within child welfare organizations.

Organizational Culture & Child Welfare

There are typically two types of cultures within organizations: constructive and defensive

(Cooke & Szumal, 2000; Glisson, 2002; Glisson & James, 2002). Constructive cultures are

characterized by behaviors and beliefs related to the fulfillment of organizational goals, staff

development and positive interpersonal interactions. Defensive cultures may be distinguished by

behaviors and beliefs related to the need for the fulfillment of security and protection. The

behaviors, beliefs and norms associated with defensive cultures may include the need for

approval from those in authority and other co-workers, high levels of dependency, evasion of

responsibility and blame (Cooke & Szumal, 2000; Glisson, 2002; Glisson & James, 2002).

Hasenfeld and Garrow (2012) maintain that while most organizations are complex and may exhibit a defensive or ineffective culture within the organization as a whole, subcultures within the same organization may be quite unified and constructive.

Traditionally, human service organizations tend to be bureaucratic and functionalistic (Austin, 2002; O'Connor, Netting, & Netting, 2009).Within these structures, acceptable means of carrying out job responsibilities as well as appropriate behaviors are often maintained through a set of rules and regulations (Bolman & Deal, 2008).These rules are maintained over time, making it difficult to promote change, especially among those in positions of power (Sandfort, 2003). Similar to human service organizations, the nation's child welfare system operations are consistent with bureaucratic principles (Schorr, 2000; Wells, 2006; Wells & Guo, 2006). In fact, Austin (2002) characterized child welfare systems as machine bureaucracies in which decisions are made at the top level and automatically carried out at the lower levels. Because of this bureaucratic nature, many public child welfare systems across the United States are seen as ineffective and a source of frustration for both the workers and the children and families that are served by the system (Schorr, 2000). This is in sharp contrast to the way Max Weber, the father of organizational theory, envisioned bureaucracy. He saw bureaucracy as the model of efficiency and quality (Weber, Henderson, & Parsons, 1947). Weber, Henderson and Parson (1947) believed that impersonality was a strength and individuals were to perform expected work- related tasks "without hatred or passion, and hence without affection or enthusiasm" (p. 340). This approach can be problematic in child welfare organizations today, as the effectiveness of services and client outcomes are often connected to the quality of the relationship between the organization, worker and the client. A 2006 national survey of social service managers indicated that respondents were more likely to use an empowerment approach

which focuses on empowering staff members and involving clients in organizational decision

making (Hardina, 2011).

Unlike human service agencies that serve other populations, direct care workers within

child welfare organizations face a unique set of circumstances. Youth who enter the child

welfare system often have a history of traumatic experiences, including neglect, witnessing

violence, physical and sexual abuse (Festinger & Baker, 2010; Webb, 2006). Research has

found that these experiences have long lasting effects on their cognitive, social and behavioral

functioning (Fairbank, Putnam, & Harris, 2007). Youth in residential care may become violent

and act out past traumatic experiences on fellow residents and staff members (Freundlich, Avery,

& Padgett, 2007). Many times direct care staff members are young and inexperienced and often

lack training, confidence and the competence to know what to do when confronted with

reenactments and trauma related symptoms in youth (Barth, Lloyd, Christ, Chapman, &

Dickinson, 2008; Benamati, 2005; Strolin-Goltzman, 2008). This often leads to a parallel process

where staff members, many with their own traumatic histories and youth engage in acts of

physical and psychological violence against each other (S.L. Bloom & Farragher, 2011;

Festinger & Baker, 2010).

Change within Child Welfare

The literature is replete with calls to reform the child welfare system, retain qualified

staff and improve child outcomes (DePanfilis & Zlotnik, 2008). However, there are divergent

views on the most effective way of bringing about much needed change within the field of child

welfare. B. J.Cohen (2005) emphasized the need for an expanded role for direct care staff and

encouraged participatory decision making, team work and staff empowerment to facilitate

change.   Others agree, suggesting that this "bottom up" approach will result in staff members

who participate in, rather than resist, change (Armenakis, Harris, & Mossholder, 1993; Hardina & Montana, 2011; Wells & Guo, 2006). Norman and Keys (1992) contend that change within human service organizations are brought about by charismatic, motivated leaders at the top. Still others argue that while organizational styles are important issues, the root problems in need of change within the child welfare system are poverty, public anger and under-financing (Schorr, 2000). However, Chenot (2007) maintains that improving the organizational culture within child welfare agencies will increase worker morale, retention and motivation to overcome challenges of the work cause by external forces. Cunningham et al. (2002) found that when organizational members felt a sense of involvement in the change process, not only was there a decrease in psychological stress related to the change, but job satisfaction and intentions to remain with the organization increased.

Since child welfare systems are open systems which are greatly affected by political pressures, highly publicized failures often result in coercive, externally driven change (Bertelli, 2001; Blome & Steib, 2008). Because of this phenomenon, understanding whether these agencies change proactively or defensively is an especially relevant concern. Thaden and Robinson (2010) found that a common response to externally driven change is to adopt a public expression of compliance without significantly modifying the behaviors of front line staff. When outside groups are monitoring compliance to change efforts (e.g. for certification), there is a chance that change will occur only for the purpose of creating a paper trail. Fixsen, Naoom, Blase, Friedman, and Wallace (2005) refer to this practice as "paper implementation" (p.6). Studies have shown that when commitment to change is based on the collective desire to change rather than a mandate or obligation, members exhibit not only more cooperation but promoted the value of change to others (Herscovitch & Meyer, 2002).

Current Change Efforts within NYS Child Welfare

In 2007, the New York State Office of Children and Family Services (OCFS) collaborated with Andrus Center for Learning and Innovation (ACLI) to implement the Sanctuary® Model within five select private voluntary residential child welfare programs that serve youth with behavioral, emotional and social challenges. OCFS contracted with the Sanctuary Institute, a division of ACLI, to provide intensive training and consultation in the implementation of the Sanctuary Model. The Sanctuary Model, as adapted for youth in residential care, is a trauma-informed approach to facilitate organizational culture change to more effectively deal with the behaviors of youth in care, help them heal from past psychological and social traumatic experiences, and achieve residential treatment goals (S.L. Bloom & Farragher, 2011). The Sanctuary Model is described in detail in S.L. Bloom (2013). Ideally, when the model is implemented with fidelity, staff members at all levels work together to more effectively deal with youth with trauma histories and analyze their own policies and procedures in order to expose organizational strengths, vulnerabilities, and conflicts, thus creating an organizational culture with less violence, more supportive relationships, and more democratic processes (Abramovitz & Bloom, 2003).

Voluntary child welfare agencies from across New York State were invited to apply for OCFS funding to implement the model as a pilot program. In 2007, five agencies were selected to participate and attended a 5 day training to introduce the agency steering team, comprised of agency leaders and administrators, to the Sanctuary Model. Topics during the 5 day training included: the 7 commitments of the Sanctuary Model, Barriers to Organizational Change, An Introduction to Safety, Emotional Intelligence, Loss and Future (SELF) and a review of the Adverse Childhood Experiences Study (ACES). These topics were selected to help agency

administrators understand the interconnection between early childhood trauma and child development to better respond to the needs of the children and families served by the organizations. After attending the training, the Steering Team was then responsible for returning to their agencies to select and train a Core Team, comprised of staff member from each department, in Sanctuary concepts. Over the next three years, the Core Team was responsible for training the entire staff in model Sanctuary principles. In addition, agencies received technical assistance and guidance from consultants. These consultants were former leaders at child welfare agencies that successfully implemented the model and were now employed by the Sanctuary Institute. At the conclusion of the implementation process each agency were evaluated for fidelity to the Sanctuary Model and commitment to organizational culture change. Of the five agencies, three were found to have successfully implemented the model and were granted Sanctuary certification, one was not certified and one chose not to pursue certification.

Problem Statement

Each year, significant financial resources are expended to implement new policies and programs in an attempt to facilitate organizational change (Fleming et al., 2011) . According to the Report to the Legislature Quality Enhancement Fund (Office of Children and Family Services, 2008; 2009), New York State spent $775,000 annually during fiscal years 2007-08 and 2008-09 to implement the Sanctuary Model. This is a substantial amount considering studies reveal that nearly two thirds of all attempts to accomplish organization change are unsuccessful (Beer & Nohria, 2000; Kotter, 1995, 2007). Not only do these failed attempts result in financial losses for organizations, but employees' collective belief that change is possible is diminished (Weiner, 2009).   Lipsky (2010) suggests that direct care workers are most affected by

programmatic and policy changes within the organization but limited resources, time constraints and conflicting goals often affect their ability to implement change. In addition to these structural challenges, research has shown that the leading causes of unsuccessful change efforts are insufficient confidence (efficacy) and collective motivation (readiness) to implement desired changes (Kotter, 1995; Kotter & Schlesinger, 2008).

Implementation researchers maintain that when organizational readiness is high, staff members will engage in behaviors that support change efforts and even go beyond job requirements and role expectations to ensure successful implementation (Armenakis & Harris, 2002; Weiner et al., 2008). Additionally, Herscovitch and Meyer (2002) found that when commitment to change is based on the collective desire to change rather than a mandate or obligation, members exhibited not only more cooperation but promoted the value of change to others. Assuming that improved services as a result of successful change implementation would justify expenditures and ultimately improve client outcomes, it is important to establish what constitutes organizational readiness. By identifying those factors that influence organizational readiness for change, change agents can align their change messages and strategies to more closely meet the needs of their organizations, which may lead to successful change implementation.

Chapter II: Literature Review & Theoretical Framework

Stages of Change

The theory of readiness for change has evolved over the past half century. In 1948, Coch and French (1948) suggested for the first time that employees' resistance to change could be prevented by instituting interventions at the onset of implementation to motivate employees. Findings from their study of factory workers in Panama revealed that resistance occurs when members are not included in the planning and development of the change process. Their study went beyond classic management theories at the time which argued that successful organizational change implementation is a result of managing resistance and introduced readiness as a distinct construct.

In 1951, Kurt Lewin expanded on the conceptualization of organization change by suggesting that successful organizational change involves three steps: unfreezing, moving and refreezing (Lewin, 1951). The first step, unfreezing, is similar to readiness in that it involves the disruption (unfreezing) of the status quo so that old behavior can be unlearned and new behavior can be adopted. Lewin (1951) argued that "to break open the shell of complacency and self-righteousness it is sometimes necessary to bring about an emotional stir up" (Lewin, 1951, p. 229). Since organizational culture develops over time and is passed down through socialization, this emotional stir up often occurs when deeply embedded cultural norms and beliefs are challenged and the status quo is questioned (Bolman & Deal, 2008). Researchers have found that the key to unfreezing equilibrium is to recognize that "change, whether at the individual level or group level, was a profound psychological process" (Schein, 1996, p. 27). In other words, when employees feel that they are capable of creating change, they are more likely to take

the risks involved in *moving* toward adopting new information and rejecting old behaviors and eventually new behaviors are refrozen into the organization (Lewin, 1951).

Readiness to change is a multidimensional construct that encompass both individual and group factors (Rafferty, Jimmieson, & Armenakis, 2013). At the individual level, readiness is strengthened when staff members feel that they have the necessary motivation, knowledge and skills to successfully execute the desired change, while achieving readiness at the organizational level may prove to be more difficult as it requires convincing a large group of staff members with varying degrees of commitment to change their beliefs, attitudes and values (Armenakis et al., 1993).

Fixsen et al. (2005) maintains that the transfer of knowledge and the implementation of change is a process that does not occur all at once but occurs in distinct sequential stages. These stages are: (a) exploration and adoption*,* when organizations assess the potential match between organizational needs and the intervention being considered to make a decision to proceed of not; (b) program installation, when funding, human resources and technology must be made available for desired changes; (c) initial implementation, when the ideal model is met with real world challenges and significant, sometimes difficult changes must be made to move forward to (d) full operation, once new knowledge becomes fully integrated into organizational practice; (e) innovation, when the organization adapts the intervention to better respond to the unique needs of the organization while maintaining fidelity; and (f) sustainability, when change is not only fully implemented, but maintained through ongoing evaluation (Fixsen et al., 2005). Fixsen et al. (2005) contends that these stages are not linear but interdependent. Therefore, it is conceivable that readiness must occur between the exploration and adoption stage and at each stage thereafter.

Dimensions of Readiness for Change

The following table illustrated the varied definitions of readiness for change:

Author	Definition
Armenakis, Harris, Mossholder, 1993	"beliefs, attitudes and intentions regarding the extent to which changes are needed and the organization's capacity to successfully undertake those changes" (p.681).
Eby, Adams, Russell & Gaby , 2000	"Readiness for change is conceptualized in terms of an individual's perception of a specific facet of his or her work environment – the extent to which the organization is perceived to be ready to take on large scale change… Readiness for organizational change reflects an individual's unique interpretive reality of the organization" (p.422).
Cunningham et al., 2002	Readiness involves "a demonstrative need for change, a sense of one's ability to accomplish change (self-efficacy) and an opportunity to participant in the change process" (p.377).
Jones, Jimmieson, & Griffiths, 2005	"The notion of readiness for change can be defined as the extent to which employees hold positive views about the need for organizational change (i.e., change acceptance), as well as the extent to which employees believe that such changes are like to have positive implications for themselves and the wider organizations" (p.362).
Holt, Armenakis, Field, & Harris, 2007	Readiness for change is "the extent to which an individual or individuals are cognitively and emotionally inclined to accept, embrace, and adopt a particular plan to purposefully alter the status quo" (p. 235).
Weiner, 2009	Organizational readiness for change refers to "organizational members' change commitment and self-efficacy to implement organizational change" (p.68).
Stevens, 2013	"readiness is best understood as the a continuous function of an individual's cognitive an affective evaluations of a set of conditions and the way in which those evaluations are them tied to change-relevant responses that are positive and proactive in nature" (p.13).

Table 2.1- Definitions of Organizational Readiness for Change

The common theme of efficacy underlines each definition. Researcher agree that in order to facilitated change staff members within the organization must believe that they possess the knowledge, skills and resources to be successful. J. O. Prochaska (2008) found that whether or not staff members demonstrate willingness to embrace change is largely dependent upon the analysis of cost and benefits. Originally, Armenakis et al. (1993) identified two common themes of organizational readiness for change: discrepancy, the belief that change is necessary and efficacy, the confidence that the individuals within the organization have the ability to take the necessary action to successfully facilitate change. These themes emphasized the importance of relaying the change message in ways that facilitate confidence and the need for change.

Subsequently, Armenakis et al. (1999) expanded on the model to include the appropriateness of the change (does the intervention fit the problem), principal support; formal and informal leaders level of support for the change, and valence; organizational members desire to know how changes will benefit them.

Discrepancy

An important step in creating readiness is to demonstrate to organizational members that change is necessary. Kotter (1995) argued that before that can occur, change leaders must establish a sense of urgency or 'buy-in'. His research on motivation change included an example wherein administrators provided workers with extensive details regarding the proposed change, but provided no persuasive reason for the change. As a result they resisted the planned change. Instead of being motivated, employees were confused about what needed to change and when to implement change (Kotter, 1995). Similarly, Beer and Nohria (2000) contend that in order for change to occur leaders must help members recognize the clear and present danger of maintaining the status quo. Because change forces people to abandon behaviors that may have been successful in the past, resistance may occur if people are required to change those behaviors without sufficient reason (Whelan-Berry & Somerville, 2010). While the message and change agents play pivotal roles in driving the change process, it is essential that organizational members identify the need to change for themselves rather than the committed few attempting to force, bribe or scare others into changing behaviors (Armenakis & Harris, 2002).

Appropriateness

S. A. Brown, Massey, Montoya-Weiss, and Burkman (2002) found that not only is it imperative that administrators and employee recognize the need to change, but the planned change must be appropriate for the setting and must be able to achieve the desired results. Buller,

Saxberg, and Smith (1985) define appropriateness as "the degree of congruence between the change and the organizational characteristics such as culture, structure, and formal systems…" (p.193). In other words, the change must fit the problem the organization is attempting to solve and be manageable within the environment.

Typically, human service agencies serve clients with a vastly diverse set of needs. While practitioners may recognize the need for organizational change, many may be skeptical of new interventions considered to be evidence based practices arguing that these approaches are too broad and do not speak to the unique contextual and cultural needs of clients (Gibbs & Gambrill, 2002). In a study of organizational support for research-based practices within voluntary childcare agencies, Barratt (2003) found that the culture of knowledge transmission within social work has been historically unsupportive of new technologies, due to suspicion that those who design these new models are guided by their own views and exclude the expertise of those in direct practice. Similarly, Gibbs and Gambrill (2002) argue that some direct care workers feel that the introduction of new policies and programs are simply cost-cutting tools which are politically motivated and guided by efficiency or something other than the best interest of those being served.

The history of change within the organization also affects the appropriateness of current change efforts. When an organization has a history of failed change attempts, staff members become cynical and each new innovation is viewed as inappropriate because of disbelief that change is necessary and possible (Beer & Nohria, 2000). These failures negatively impact the organization's readiness for change, not only because followers may begin to doubt the necessity of change but even if they do find that change is necessary they may lose faith in leadership's ability to choose appropriate change initiatives. Appropriateness is particularly important when

change is mandatory because there is an increased risk of resistance when employees are excluded from decision making (S. A. Brown et al., 2002).

Efficacy

Any change within an organization has the potential to create conflict (Bolman & Deal, 2008). Fear of conflict or fear of change itself can also lead members of an organization to underestimate their ability to implement change (Weiner, 2009). Mistrust in change or leaders of change efforts can also negatively affect efficacy. Efficacy is a concept from social learning theory and involves "people's judgment of their capabilities to organize and execute courses of action required to attain designated types of performances"(Bandura, 1986, p. 391). Armenakis, Harris and Mossholder (1993) conceptualized readiness as "organizational members' beliefs, attitudes and intentions regarding the extent to which changes are needed and the organization's capacity to successfully make those changes" (p.681). Similarly, Giddens (1984) suggests that a key element in change implementation is member's efficacy or belief that they can adopt and use new skills. Weiner (2009) argues that "change efficacy refers to organizational members shared belief in their collective capabilities to organize and execute the courses of action involved in change implementation" (p.2). In other words, effective implementation of change requires both learning the skills and having the belief that one can use the skills correctly to create change. Aarons et al. (2012) maintains that with many models to be implemented, the assumption is that training and knowledge should lead to implementation activity. Self-efficacy theory suggests that it is the belief that a person has the capacity to exercise those skills and knowledge that leads to action (Bandura, 1986).

Principal Support

     Armenakis et al. (1999) argues that initial readiness and successful change implementation is as dependent upon efficacy and understanding the need for change as it is on the efforts of proactive 'champions for change' within organizations whose role it is to provide information and convince organizational members that leaders are committed to the change. Nearly two decades ago, Larkin and Larkin (1994) observed that when implementing change, top administrators often assumed that because the change message was publicized and promoted staff members would understand and accept change. They found that the frontline supervisor was the most important person in enlisting staff members to embrace change. These supervisors were often once frontline workers themselves and were able to relate the effects of organizational change on direct care staff.

     In a recent study of school personnel, Oreg and Berson (2011) found that the impact of leaders on followers is much stronger in organizations such as schools or human service agencies in which leaders have a role in shaping the vision of the organization while maintaining hands-on involvement in the day-to-day functioning. Their study revealed that employees of transformational leaders were less likely to be resistant to organizational change (Oreg & Berson, 2011). Transformational leaders motivate followers by creating vision for the future and inspire performance that goes beyond job expectations (Appelbaun, Berke, & Vasquez, 2008; Bass, 1999; Burns, 1978, 2003). In a review of six empirical studies that focused on change and leadership styles, Appelbaun et al. (2008) concluded that transformational leadership garnered a higher level of support for change that other types of leadership. Likewise,Herold, Fedor, Caldwell, and Liu (2008) found than organizational members' commitment to change was

strongly related to the transformational leadership style of change agents, even when the change

effort was poorly managed.

Transformational leadership typically has four dimensions: (1) charisma -the leaders

ability to make followers want to identify with him/ her; (2) inspirational motivation -the

leader's ability to stimulate followers by creating vision; (3) intellectual stimulation - the degree

to which the leader challenges stereotypes, takes risks, and supports followers ideas and (4)

individualized consideration- the leaders ability to mentor, coach and listen to individual

concerns (Burns, 2003). Oreg and Berson (2011) report that of these four dimensions,

inspirational motivation leadership had the strongest effect on creating change. Thus, providing

principal support of the planned change by inspiring staff member's vision for the future of the

organization is a key element in creating readiness for change.

Valence

The final element in creating readiness is that of valence. Armenakis et al. (1999)

succinctly defines valence as "What's in it for me?". They maintain that if there is no perceived

reward for changing, the discomfort of abandoning familiar behaviors outweighs the rewards and

as a result the organizational members will resist change (Armenakis et al., 1999) This suggests

that even if there has been an identified need for change, the change has been deemed

appropriate, and there is sufficient support and resources available to make change, staff

members will still wonder how the change will impact them personally. Weiner (2009) offers a

more in depth definition of valence which draws upon motivation theory. He suggests that

valence is largely dependent on the value that staff members place in the proposed organizational

change (Weiner, 2009). Unlike Armenakis et al. (1999), Weiner (2009) argues that

organizational members not only consider how the change will benefit themselves, but they may

be willing to embrace change based on an appraisal of how the change will benefit the clients they serve, other employees and organization as a whole. Because organizations are comprised of individuals with varying sets of ideals, there may be several other reasons that staff members may find value in a proposed change. However, Weiner (2009) purports that the individual reasons are less important than staff members' ability to collectively find enough value in the proposed change to commit to implementation.

Each of the five dimensions of readiness do not stand alone. Instead, each element influences and shapes the other. Together, they help to form the organizational members' readiness for change. However, it should not be assumed that readiness occurs in the beginning stages of change implementation and continues until the organization has fully adopted the change.

Holt, Armenakis, Harris and Field (2007) suggest that readiness for change is a comprehensive attitude that is concurrently influenced by what is being changed (content), how the change is being implemented (the process), the circumstances under which the change is occurring (context), and the characteristics of those being asked to change (individuals). It is the collective content, process and context that determines the extent to which members of an organization are cognitively and emotionally ready to embrace change (Holt, Armenakis, Harris, & Feild, 2007). Weiner (2009) contends that the content of change is as important as the context of change. For example, a child welfare agency could acknowledge the need to transform its culture from one of control to one that recognizes that youth's behavior may be a result of their traumatic past and have a high level of readiness to train staff in trauma theory, but have low readiness to engage in shared decision making with direct care staff. It is possible that a receptive environment is necessary, but alone it is not enough to suggest organizational

readiness for change (Weiner, 2009). According to Weiner, the organization's environment (context) is a catalyst for readiness rather than readiness itself (Weiner, 2009).

These theories suggest that readiness is a proactive process rather than a static state that exists solely at the beginning stages and drives implementation success. Stevens (2013) proposes that readiness can more accurately reflect the transition that occurs between each stage. It is possible that successful change implementation is dependent on accessing readiness before implementing each stage of an intervention (Holt et al., 2007). In this sense, readiness can be conceptualized as "a continuous and dynamic process that results in some positive and proactive response to change" (Stevens, 2013, p. 13).

Fig. 2.1 Conceptual Model

The conceptual model to be used in this study builds upon the work of Holt and Vardaman (2013) and Armenakis et al. (1999). These authors assert that the actions or activities that bring about change (process) are as important as what will change (content) under which conditions (context). Thus, the model identifies the conditions and processes that lead to initial readiness and successful implementation.

This model also distinguishes the processes that occur between readiness and successful implementation. The Sanctuary Implementation Guide clearly identifies which components of the Sanctuary Model should be implemented during the set times during the change process, but does not address the internal and external challenges that may impede readiness and ultimately implementation success. Holt and Vardaman (2013) suggests that organizations must establish collective readiness at each stage of implementing change. The conceptual model represents readiness as a continuous state wherein the organization must have an effective change message, transformational leadership and efficacy before successfully implementing each component of the intervention or change model.

Aims & Objectives

Traditionally, studies of child welfare organizations have focused on identifying and documenting "effective" child welfare practices. More than a decade ago, Kluger, Alexander, and Curtis (2000) examined features of successful programs. Their groundbreaking book included data about effective strategies, conflicting evidence, cost-effectiveness information of family preservation and family support services, child protective services, out-of-home care, adoption, child care, and adolescent services. More recently, in an effort to bridge the knowledge gap between practice wisdom and evidence the United States Department of Health and Human Services Children's Bureau created three Child Welfare Research and Evaluation Workgroups to provide evidence of which interventions are most effective within child welfare settings (DePanfilis, 2014).

The emerging field of implementation science added to the child welfare body of knowledge. Researchers have recognized that interventions that have been proven to be effective can be rendered ineffective in real world settings if poorly implemented (Mildon & Shlonsky,

2011). Thus, several studies have explored implementation drivers and implementation fidelity within child welfare agencies (Berzin, Thomas, & Cohen, 2007; Crea, Usher, & Wildfire, 2009; Proctor et al., 2011; Rice, 2011).

While it is important to differentiate between implementation effectiveness and treatment effectiveness in order to move interventions from laboratory settings into the agencies that serve youth, this study will focus on the ability of organization members collectively to embrace change. To this end, the present study examined the change efforts within five New York State voluntary child welfare agencies through the lens of the five dimensions of readiness for change based on the work of Armenakis et al. (1999).

This study aims to support or expand Armenakis et al. (1999) five dimensions of readiness for change. More specifically, this study will examine how the five dimensions of readiness are illustrated within those New York State voluntary child welfare agencies that implemented a trauma informed culture change model. A directed content analysis of previously collected Sanctuary related materials documents was conducted that examined the following research questions:

To what extent, if any:

1. did each agency establish a *sense of urgency* or collective buy-in for change
2. did agencies find the model *appropriate* for the populations served, its employees and the environment
3. was *principal support* reflected at each agency and leaders considered to be transformative in their leadership style
4. did internal and external challenges affect member's confidence *(efficacy)* in organizational change
5. did staff members feel that the change would benefit them, the clients they serve and the organization *(valence)*

In addition, the following sub questions will be explored:

- o What effect did principal support or lack thereof have on successful implementation?
- o What strategies did these organizations use to adapt to internal and external challenges to change?

Chapter III: Research Design Methodology

In the literature review, the researcher discovered no references to works that examined child welfare organizations employing the framework of organizational readiness for change. This gap in the knowledge base led the researcher to examine documents from five New York child welfare agencies that chose to implement an organizational change model to ascertain to what extent Armenakis et al. (1999) dimensions of organizational readiness for change were demonstrated during the implementation process.

The Original Study

Data for this study were originally collected under contract with the New York State Office of Children and Family Services (OCFS) and the Child Welfare Training Program (CWTP) at Stony Brook University School of Social Welfare. The CWTP has administered the Sanctuary Project which has involved the implementation of the Sanctuary Model within five child welfare agencies throughout New York State. Under this contract, the CWTP has also been in partnership with the Sanctuary Institute and Andrus Children's Center to evaluate the training and implementation of the model. The original process evaluation required the Sanctuary Steering Teams at each agency to send to the CWTP documentation of the implementation process. These documents included participant evaluations of Sanctuary module training sessions, minutes from Steering and Core Team meetings and documentation of Sanctuary language, tools and principles incorporated into agency policies and practices. This project was first funded by New York State OCFS in 2006, and renewed each year through 2014. Cohorts of selected private voluntary child welfare agencies and New York State Office of Children and Family Services Department of Juvenile Justice and Opportunities for Youth (DJJOY) sites were selected to participate and received funding for three years. Data for this study was selected from

five voluntary child welfare agencies that implemented the Sanctuary Model between 2008 and 2011.

In an effort to support these agencies throughout the implementation process, the Sanctuary Institute assigned a consultant with expertise in Sanctuary concepts and principles to each voluntary agency. Consultants conducted on-site visits quarterly, maintained monthly contact and were entrusted with the task of delivering training modules to agency staff in Sanctuary principles and tools. During site visits, agency retreats and booster trainings, consultants assessed the organizational climate and monitored the process of implementing organizational change. In addition, representatives from each agency participated in monthly consortium calls where they discussed implementation challenges and gained support and advice from other agencies that were implementing the model. Consultant visits and consortium calls were documented and collected by CWTP for the purpose of conducting a process evaluation. With the approval of the Stony Brook University Institutional Review Board and with permission from NYS OCFS and the agencies involved, a secondary analysis of previously collected Sanctuary related documents was conducted to respond to the research questions.

<div align="center">Data Collection</div>

Berg (2007) suggests that the criteria for selection of material to be analyzed should be sufficiently exhaustive to account for each variation of message content. Therefore, all material collected from the five voluntary agencies during their implementation process were included in this analysis. In all, 357 documents were included in the analysis (Appendix A). These documents included:

- **Sanctuary On-site Agency Assessments** – Prior to attending the 5 day training to introduce the agency Steering Team to the Sanctuary Model, a faculty member from the

Sanctuary Institute (formally the Sanctuary Leadership Development Institute) conducted an on-site visit with each selected agency. The site visit included a review of randomly selected resident charts, staff and resident interviews, environmental observations and a review of agency policies, procedures and mission statement. The objective was to fully assess the agency based on Sanctuary core commitments (Non-Violence, Safety, Emotional Intelligence, Shared Governance, Open Communication, Social Responsibility, Growth and Change) and identify organizational strengths, weakness in existing programs and potential challenges to implementation of the Sanctuary Model.

- **Organizational Change Self Assessments** – The leadership team completed a self-assessment of the agency's view of organizational change. Each agency was given the autonomy to choose its team to complete the assessment. In general, the leadership team was comprised of the agency's Chief Executive Officer, Director of Programs, Training Director, Chief Operations Officer, and Chief Financial Officer. The purpose of completing the assessment was for the organization to "honestly" look at its readiness to implement the Sanctuary Model of organizational change. The assessment included questions under eight sections to assess the organizations commitment to change. In first section entitled Readiness *to Change*, leaders were asked to assess which concepts and practices would be easiest and hardest to embrace, to identify potential barriers and resistance to change and possible strategies to combat barriers and resistance, and to identify staff members that would be influential in working toward change. The next six sections asked leaders to assess their agency's commitment to Sanctuary core principles (Non-Violence, Emotional Intelligence, Social Learning, Shared Governance, Open Communication, Social Responsibility, Growth and Change). The last section of the

Organizational Change Self-Assessment included an evaluation of readiness. Agencies were asked to briefly describe the organization's current approach to program and/or process evaluations.

- **Notes from Consultant On-Site Visits and Monthly Calls** – The OCFS contract stipulated that each consultant was required to visit each agency at least four times each year to meet with the Steering and Core Teams to provide guidance and asses the organization's culture, organizational strengths and challenges, and the progress of implementation of Sanctuary concepts and tools (red flag reviews, community meetings, psycho-education and safety plans).   In addition, the consultants were to have telephone contact with steering teams at least once a month for updates on the progress of implementation. After each phone call or on-site visit with organizations, Sanctuary Institute consultants completed on-line forms via www.surveymonkey.com. The form (see Appendix: B) was created by CWTP staff as part of the original process evaluation project under the OCFS contract.

- **Meeting Minutes** – Agency staff members were selected to serve on the steering committees because of their positions within the organization which grant decisions making power and access to resources (Andrus Children's Center, 2007). Members of the Steering Team attended the five-day training at the Sanctuary Institute, and then came back to their agencies to select and train a Core Team of staff members who represented each department within the agency. The Core Team was responsible for training the entire staff in Sanctuary concepts and principles. Both the Steering and Core Teams met on a regular basis to discuss the progress of the implementation of the Sanctuary Model.

On average, these teams met twice a month. Minutes were recorded at each meeting. The length of these minutes varied from one page consisting of a few sentences to several pages detailing time lines and logic models for implementation. The depth of information contained in these minutes depended on the size of the organization, the number of members on the team and where the organizational was in the implementation process. For instance, during the exploration and adoption stage of implementation, minutes from team meetings were often vague and included brainstorming ideas and suggestions for directions moving forward. As the organizations progressed to the installation and implementation stages the teams began to engage in meaningful conversations with action plans and detailed tasks for sub committees.

- **Staff evaluations of Sanctuary module training and retreats** – Sanctuary concepts were taught to staff members in modules developed by the Sanctuary Institute. Each of the eight modules covered a Sanctuary concept and a tool including: (1) Introduction to the S.E.L.F model / Community Meeting, (2) Trauma Theory/ Safety Plans, (3) Learned Helplessness and Reenactment/ Red Flag Reviews, (4) Parallel Process/ Team Meetings, (5) Collective Disturbance/ Psycho-education, (6) Various Trauma / Self Care, (7) The Seven Commitments/ Environmental Assessments, and (8) The Seven Commitments/ Treatment Planning Conferences. After each training session participants were asked to complete an evaluation. The evaluation was developed to measure the quality of the training in an effort to optimize effectiveness. Participants were asked to rate the overall usefulness of the training, their understanding of the Sanctuary concept/tool, their ability to apply/use the concept/tool; and their level of confidence in teaching the concept/tool to others in the organization. In addition, participants were asked to specify the most and

least valuable aspects of the training and indicate what they felt they needed to facilitate the implementation of the Sanctuary Model at their agency. Modules were also presented at retreats were staff members and consultants discussed the strengths and challenges of implementing change. Every 4 months a report documenting the qualitative and qualitative outcomes of staff evaluations of module training conducted during that period was generated. These reports were prepared by CWTP staff and sent to each agency and OCFS as part of the process evaluation.

Three staff retreats were held during the three year implementation process. The first retreat focused on bringing the Core Team together to orient them to the model and to provide them with an understanding of the scope of work. Agency leaders were invited to participate in the second retreat. Topics included: Leadership, Overview of the Sanctuary Model, Trauma and Organizations, Complex Concepts in Supervision, and Supervision and Power. The third retreat entitled, *Raising Conflict* was intended to provide the Core Team a solid approach and tools for understanding, uncovering, and resolving conflict within the organization. At the conclusion of each retreat, staff members were asked to complete an evaluation to assess whether or not the retreat helped participants learn the knowledge and skills necessary to implement the organizational change, increased participants understanding of their role and responsibilities on the Core Team. These retreats provided opportunities to interact openly with co-workers. Participants were asked how confident they felt in moving forward with the implementation of the organizational change within their facility, as well as, to rate the overall quality and usefulness of the retreat.

- **Sanctuary Institute Agency Certification Reports** – Typically, during the third year of implementation agencies were assessed for Sanctuary certification. Two consultants from the Sanctuary Institute meet with staff, clients/consumers and leaders during a two day on-site visit. During this visit, Sanctuary evaluators conducted focus groups with staff members, meet with clients or observe client-staff interactions, met with the leadership team and reviewed agency policies for evidence of incorporation of Sanctuary concepts and principles. Agencies received a score from 1 (not implemented) to 5 (exceptionally implemented) based on the extent to which they successfully embedded trauma theory, the S.E.L.F framework, the seven commitments and the Sanctuary Tools into their organization's practices to facilitate organizational change. At the completion of the two-day site visit, the evaluators generated a report which includes a determination of certification, a summary and recommendations. Those agencies with a mean score of 4 were granted Sanctuary certification.

<div align="center">Research Participants</div>

In 2007, five private voluntary child welfare agencies were awarded OCFS funding to implement the Sanctuary Model. The names of the actual agencies that participated in the study have been changed to protect their confidentiality however, the descriptions are accurate:

Mountain View–During the time of Sanctuary implementation Mountain View operated an 88-bed residential treatment center (RTC) and a 14-bed Office of Mental Health-licensed residential treatment facility (RTF) serving with children emotional, behavioral, social and learning challenges. Since becoming Sanctuary certified, Mountain View has shifted their focus from child welfare to school-based referrals to serve children with special educational and emotional needs.

The Patterson Home for Children–Serves approximately 400 youth in their residential treatment, community, education, non-secure detention, respite and foster care programs in two locations in New York State. The RTC provides services that include psychiatric and psychological consultation; milieu therapy; therapeutic recreation; independent living training; and post-discharge case management. The RTF serves youth with a primary psychiatric diagnosis. The Patterson Home also operates a New York State Education Department certified K–8 Special Education residential school providing programs for students with disabilities and provides emergency housing and respite care for youth in crises.

Quiet Valley Child and Family Services – Provides behavioral health services, foster care services, case management, residential treatment, prevention and family preservation, education and early childhood services in day treatment, mobile crises, clinic and school based settings. Quiet Valley is one of the largest multi-services agencies in New York State.

Nazareth Youth Services – A large multiservice agency which serves youth in their foster care programs, pregnant and parenting teen residential program, programs for youth with developmental disabilities and residential treatment facility. Nazareth also offers outpatient counseling, preventive services.

Kindertowne – A small community-based agency dedicated to improving the lives of at-risk children and their families in their residential treatment, foster care, transitional living, young mothers and independent living programs.

Rationale

This study employed a directed content analysis approach to address the research questions and gain a better understanding of the implementation of change within child welfare agencies. Because readiness can be conceptualized as a "continuous and dynamic process "that more accurately reflects the transition that occurs between each stage" (Stevens, 2013, p. 13), this study examined the organizational change process over time. The rationale for using a retrospective content analysis approach is to explore each organization's readiness to implement change during the three year implementation process. Deductive content analysis is often used in cases where the researcher wishes to reanalyze existing data in a new context and expand upon existing theory (Hsieh & Shannon, 2005). This study seeks to reexamine existing data through the lens of organizational readiness for change. Unlike quantitative measurements that assess readiness at a static state within the organization, qualitative analysis gave the researcher a broader picture of readiness at each stage. Because readiness at one stage does not ensure readiness for the next stage it was important for the researcher to organized the data chronologically to examine readiness at the exploration stage when each organization began to investigate possibility of change; at the installation stage when agencies sought to acquire the necessary knowledge and resources to facilitate change; and at the initial implementation stage when concepts and principles are practiced for the first time (Fixsen et al., 2005). The use of qualitative methods also illustrated the experiences of members within each agency through the analysis of staff evaluations of training and team meeting minutes.

This study employed qualitative methods within a case study design. According to Yin (2003), a case study design should be considered when the researcher wants to cover contextual conditions because she believes they are relevant to the phenomenon under study. Armenakis

(1999) indicated that organizational readiness is composed of distinctive components; however these components may be manifested in different ways within different environments. Thus a multi-case study design was chosen to respond to the research question within each agency.

Methodology

A "content analysis is a research technique for making replicable and valid inferences from texts (or other meaning matter) to the contexts of their use" (Krippendorff, 2004a, p. 18). According to Leedy and Ormrod (2010), a content analysis is a "detailed and systematic examination of the contents of a particular body of material for the purpose of identifying patterns, themes and biases" (p.144). There are three approaches to qualitative content analysis: conventional content analysis, an inductive approach typically used to describe an occurrence or observable fact when existed theory is limited; directed content analysis, a deductive approach which is used to confirm or expand upon an existing theory; and summative content analysis, an approach used to understand the contextual use of words or content (Hsieh & Shannon, 2005).

A directed content analysis is more guided than the conventional analysis (Hickey & Kipping, 1996). It can be considered a social anthropological approach: "researchers employing this approach usually are interested in the behavioral regularities of everyday life, language, language use, rituals and ceremonies, and relationships" (Berg, 2007, p. 307). According to Hsieh and Shannon (2005), "the goal of a directed approach to content analysis is to validate or extend conceptually a theoretical framework or theory" (p.1281). Directed content analysis allowed the researcher to focus the reading of the data on a previously developed theory rather than extrapolating theory from the data.

The theoretical paradigm that shaped this content analysis is the existing theory of organizational readiness for change. Coding categories were developed from Armenakis et al. (1999) theory. Statements from previously collected Sanctuary related documents were filtered in order to determine to what extent each of Armenakis et al. (1999) five dimensions of readiness were exhibited by each agency during the implementation of the Sanctuary Model. Codes are defined as the "tags or labels for assigning meaning to the describing or inferential information complied during the study" (Miles & Huberman, 1994, p. 56). DeCuir-Gunby, Marshall, and McCulloch (2011) refer to the development of theory-driven codes as an "iterative process" (p.138). In other words, codes are developed and refined by repeatedly examining the text. While a theoretical lens was used throughout the study, the researcher remained open to themes and categories beyond the existing theoretical domains.

There are some limits to using theory as a framework to guide the coding and data analysis. Hsieh and Shannon (2005) suggest that "researchers approach the data with an informed, nonetheless strong bias, this may cause researchers to be more likely to find evidence that is supportive rather than non-supportive of the theory" (p.1283). In order to reduce bias, statements that could not be coded under the theoretical categories were coded with new categories and considered for expansion of the existing theory. In addition, those statements found to be contrary to the dimensions of organizational readiness for change were reviewed and coded during analysis.

Data Analysis

The directed content analysis followed a four-step method. First, the researcher identified the specific body of material to be studied (Leedy & Ormrod, 2010). For the purpose of this study, all Sanctuary related documentation received by the Child Welfare Training Program

during 2008-2011 was identified. In an effort to gain the perspective of those in leadership positions at each agency minutes form Core Team and Steering Team meeting were included in the study. Staff evaluations of module trainings were included in an effort to understand the experience of staff members who were required to participant in mandatory module trainings. The researcher felt that the view point of experts from the Sanctuary Institute was key to understanding the implementation process. Therefore, consultant contact reports were included in the analysis. Documents were obtained from CWTP files and copied and documents that were submitted to CWTP electronically were printed.

All documents were sorted by agency and then chronologically. The researcher briefly read through each document. Excel spreadsheets were created by the researcher that cataloged the 357 documents that were included in the analysis. Excel column headings were labeled, "Agency", "Documentation", "Consultant", "Date" and "Notes". Separate Excel spreadsheets were created for each agency and careful attention was paid to data entry to ensure that information was entered correctly and in chronological order. This was done to obtain a clearer understanding of the how each agency progressed through the stages of implementation in later analysis. The purpose of the first step was simply to catalog all the data.

Second, the researcher reviewed each individual document to identify and highlight statements that generally reflected Armenakis et al. (1999) dimensions of organizational readiness for change (Hsieh & Shannon, 2005). This step is often referred to as open or initial coding. During open coding, the researcher had the opportunity to familiarize herself with the data set to obtain a general understanding (Green & Thorogood, 2009). Bailey (2007), argues that open coding not only familiarizes the coder with the data, but "breaks up multiple pages of text into more manageable segments that can be grouped together and used during later stages of

37

analysis" (p. 128). This process constituted reading every line of the data and highlighting the

lines thought as potentially useful for later analysis (Bailey, 2007). According to Miles and

Huberman (1994) "codes usually are attached to 'chunks' of varying size words, phrases,

sentences, or whole paragraphs" (p.56). Because the goal of the study is to determine to what

extent readiness was demonstrated within each agency, those statements that appeared to

negatively reflected readiness or inhibited aspects of readiness were also identified and noted.

According to Corbin and Strauss (2008), this process of focused coding or axial coding

further reduces the data and helps the researcher draw parallels between themes and sub-themes.

Axial coding answers questions such as "when, where, why, how and with what consequences"

(Corbin & Strauss, 2008, p. 195). The researcher developed the criterion of analysis (Table 3.1)

based on the review of Armenakis et al. (1999) theory and highlighted passages were then

identified as having elements of discrepancy, efficacy, appropriateness, principal support or

valence based on the criteria.

Table. 3.1 Criterion of Analysis

Dimensions of Readiness	Criterion of analysis
Discrepancy	• The agency recognizes the urgent need for change • Organizational staff and members of administration reflect buy-in for the proposed change • The reasons for change are clear
Appropriateness	• The proposed change appears to address the problems within the agency • The agency has the necessary staff and resources to implement the model • The model is appropriate for the population served by the agency
Efficacy	• Agency members reflect a belief in their capacity to implement change
Principal Support	• A committed change messenger has been identified within the agency • Supervisors and upper level management are supportive of change
Valence	• There is evidence that organizational members find value in the change and believe that it will benefit themselves, the clients and the agency as a whole

Next, the research added individual column headings "discrepancy", "efficacy",

"appropriateness", "principal support" and "valence" to the Excel spreadsheet. Those statements

from the text that supported or were directly contradictory to the criterion of analysis were then

added to the agency's Excel spreadsheet under the appropriate heading. As the researcher

examined the data and assigned codes, thoughts regarding what seemed to be developing were

captured on paper. Since the overall aim of the study was to support and expand the five

dimensions of readiness for change, close attention was paid to statements that were outside of

the predetermined codes but were thought to have a role in facilitating readiness for change

within the agency. Those statements were documented in the notes section of the spreadsheet and

the researcher wrote memos regarding developing patterns. According to Marshall and Rossman

(2010), "writing notes, reflective memos, thoughts, and insights is invaluable for generating the

unusual insights that move the analysis from the mundane and obvious to the creative" (p. 161).

The process of writing notes helped reveal emerging themes within the text, offered further

insight and helped to expand the theoretical framework.

Lastly, a set of codes, definitions, and examples commonly referred to as a codebook was

created in order help guide the analysis. The researcher developed codes based on the review of

literature regarding Armenakis et al. (1999) five dimensions of readiness for organizational

change as well as the review of the data and emerging themes. MacQueen, McLellan-Lemal,

Bartholow, and Milstein (2008) suggest that the structure of codebooks should consist of the

code name/label, brief definition, full definition, inclusion criteria, exclusion criteria, and

examples. However, for the purpose of this exploratory case study, the researcher chose to

structure the codebook using three components: code name, label, a full description (an extensive

definition that collapses inclusion and exclusion criteria), examples from the data that support the

definition and examples from the data that are contradictory to the five dimensions of readiness

(see Appendix C). Codebooks are important in analyzing qualitative research because they

provide a formalized operationalization of the codes (Fereday & Muir-Cochrane, 2008; Fonteyn,

Vettese, Lancaster, & Bauer-Wu, 2008; MacQueen, McLellan, Kay, & Milstein, 1998).

Operationalization further explains the meaning of each code and how they are used to organize

the data (Table 3.2). It also increases the reproducibility of the study as other researchers could

potentially code the data following the same codebook.

Table 3.2 Elements of each dimension

Name	Label	Criterion of Analysis
Discrepancy	D1	The agency recognizes an organizational issue that is in urgent need for change
	D2	The reason(s) for the proposed change is clear
	D3	Members of administration reflect buy-in for the proposed change
	D4	Members recognizes the clear and present danger of staying the same
Appropriateness	A1	The change is appropriate for organization's structure and formal systems
	A2	The proposed change addresses the problem the organization is attempting to solve
	A3	The change is manageable within the environment (size, financial, personnel, resources…)
	A4	The change addresses the needs of the clients served by the agency
Efficacy	E1	Resources are made available to implement change (financial, personnel, time…)
	E2	Members demonstrate trust in the leaders of the change
	E3	Members reflect confidence in their ability to learn new skills
	E4	Members demonstrate the capacity to use acquired knowledge and skills
Principal Support	P1	A committed change messenger has been identified within the agency
	P2	Transformative leadership style is clearly reflected by administrators
	P3	Change leaders demonstrate *Behavioral Integrity*. Leaders' behaviors are consistent with their words
	P4	Respected front line staff demonstrate actions that support change
Valence	V1	Members demonstrate their belief that the proposed change will benefit them (professionally, financially, personally…)
	V2	Members reflect the belief that the change is beneficial for clients served
	V3	Members demonstrate their belief that the organization will be positively affected by the change
	V4	Members' actively take part in activities that support implementation

Reliability

Krippendorff (2013) argues that among the types of reliability (stability, reproducibility,

and accuracy), reproducibility is the strongest and most feasible to test. Intercoder reliability is

an important element in establishing reproducibility, as it refers to the degree to which

independent coders evaluate the same text and arrive at the same conclusions (Krippendorff,

2013; Neuendorf, 2002). The terms "reliability" and "agreement" are often used interchangeably.

However, the two concepts are conceptually different. Reliability refers to the extent to which assessments are consistent. It can be defined as "the ratio of variability between subjects or objects to the total variability of all measurements in the sample" (Kottner, et al., 2011). On the other hand, agreement is the degree to which scores or codes are identical (Krippendorff, 2013). Krippendorff (2004) asserts that "agreement is what we measure; reliability is what we wish to infer from it" (p.413).

Because reliability is often used to measure research quality, studies that fail to demonstrate reliability are subject to being seen as weak or flawed in their design (Kolbe & Burnett, 1991; Krippendorff, 2013; Neuendorf, 2002). Some researchers posit that qualitative investigation is a distinct method and should not be subjected to tests of reliability which are traditionally associated with quantitative research (Madill, Jordan, & Shirley, 2000; Yardley, 2008). Conversely, Neuendorf (2002) maintains that "given that the goal of content analysis is to identify and record relatively objective (or at least intersubjective) characteristics of the messages, reliability is paramount" (p.141).

Simple Agreement

There are several methods to evaluate inter-coder agreement in content analysis. One of the most basic measurements is percent (simple) agreement (Krippendorff, 2013). Percent agreement is calculated by employing two separate coders to evaluate the same text, the number of pairwise agreements is then divide by the number of total chances for identical answer (Holsti, 1969). Given only two coders and one section of text, the results can only be 100% (they agree) or 0% (they disagree). In order to calculate overall coding agreement this calculation is completed for each observation. For example:

	Coder A	Coder B	Total agreement
Observation 1	1	0	0%
Observation 2	1	1	100%
Observation 3	0	0	100%
Average Pairwise Percent Agreement			67%

Table 3.3 Simple Agreement

In general, eighty percent agreement or greater is acceptable to report that the research findings are reliable (Neuendorf, 2002). This method is simple and easy to calculate; however, its major weakness involves its failure to account for agreements that occur simply by chance (Krippendorff, 2013; Lombard, Snyder-Duch, & Bracken, 2002; Neuendorf, 2002). Therefore, the investigator for this study not only calculated percent agreement, but also calculated Cohen' *kappa* to test for interrater agreement.

Cohen's *kappa*

Cohen's *kappa* calculation factors in "the extent to which a given value will be coded by chance" which makes the measurement much more reliable than simple agreement (J. Cohen, 1960, p. 39). Wood (2007) contends that *kappa* is very closely related to the correlation coefficient. Krippendorff (2013) argues that while Pearson's r and other correlation coefficients "indicate the degree to which the values of one variable predicts the values of the other, agreement coefficients, by contrast, must measure the extent to which Y=X" (Krippendorff, 2013, p. 301). Both Pearson's r and Cohen's *kappa* can range from -1.0 to +1.0. A *kappa* value of zero indicates that the agreement between coders is most likely due to chance while a *kappa* value of -1.00 indicated perfect disagreement between coders and the maximum value of *kappa* is +1.00 indicates perfect agreement between coders (Wood, 2007). For the purpose of this study, a *kappa* value of .80 was considered an acceptable level of reliability.

Analysis of Interrater Reliability

To attend to the need for reliability, the researcher solicited the help of three additional coders who understood the content, the core concepts of organizational theory and the process of coding qualitative data. To ensure this understanding, the coders selected for this study were chosen based on their training and understanding of child welfare organizations. Coder B is a former employee of the Child Welfare Training Program and was one of the process evaluators for the Sanctuary project. Coders C and D are graduate students pursuing doctoral degrees in social welfare and have taken a doctoral level Qualitative Research Methods course as well as an Organizational Theory and Social Welfare administration course. Prior to coding the sample for this study, coders participated in a two-hour training session where the researcher presented coders with background information about the content and process of the study. Each coder received a training manual with information about the study, the codebook, a randomly selected sample of five passages from the data, and coding instructions. Each coder completed coding the five passages individually without input from the researcher or other coders. Upon completion of the practice activity, the researcher and coders openly discussed the results, reviewed disagreements and discussed rationales for coding decisions. Upon reaching an acceptable level of interrater agreement with the practice sample, the researcher provided the coders a randomly selected sample of 10% (n=32) of the data segments. Recommendations vary on the size of an interrater sample from a little as five percent to as much as twenty percent (Dominick & Wimmer, 2003; Kaid & Wadsworth, 1989). The coders allotted 2 hours to participate in the coding activity, therefore, the researcher determined 10% of the data to be a reasonable amount to code within the designated time.

At the end of the session each coder gave the researcher their coded sample and agreed to meet for another session to discussion the results. Percent agreement between Coder A (the researcher) and Coder B was 41%, between Coder A and Coder C was 56% and Coder A and Coder D was 34%. The low percentage of agreement (>.80) indicated a need for clearer instructions and explanations of codes. Achieving a high level of interrater reliability is essential because it provides justification for the coding method, as well as establishes reproducibility (Neuendorf, 2002). The researcher reevaluated the codebook, coding process and the coder's knowledge. The researcher also reviewed the results again to identify those statements that were assigned different codes by each of the coders. To provide further clarification, the researcher developed a chart with the statement from the data, assigned codes and the researcher's coding rationale (Appendix D) and distributed it to each of the coders. Each coder was then asked to recode the sample

Upon completion, the independent coders' results were compared to the researcher's results. Cohen's *kappa* was calculated using Statistical Package for Social Sciences (SPSS) to determine interrater reliability (Appendix E). *Kappa* values greater than or equal to .75 indicate good to excellent agreement beyond chance; values between .40 and .75 indicate fair to good agreement beyond chance; and, *kappa* values less than .40 indicate poor agreement beyond chance. The *kappa* value between Coder A and Coder B was .79 between Coder A and Coder C was .82 and Coder A and Coder D was .51. These results suggest good interrater agreement for this study.

Chapter IV: Findings

The purpose of this study was to understand the extent to which Armenakis et al.'s (1999) dimensions of organizational readiness for change were reflected within child welfare organizations during the implementation of the Sanctuary Model of organizational change. This chapter presents the findings which resulted from the directed content analysis of Sanctuary related documents which were collected from five New York State child welfare agencies between 2007 and 2011.

The study design and analysis was unlikely to result in coded data that could be compared meaningfully using statistical tests of difference, thus data is presented as a discussion of findings and core concepts. Quotations appear verbatim. Each quote is followed by the name of the agency and the date of the document from which the quote is taken. Since the overall purpose of this study was to understand the extent to which agencies reflected dimensions of readiness, a discussion of those statements from the text that appeared to be contradictory to readiness are also included in the discussion of findings.

Baxter and Jack (2008) suggest that case study findings can be presented in a way that tell the reader a story, provide a chronological report or address each proposition. There is no one correct way to report case study findings (Baxter & Jack, 2008; Yin, 2003). Hence, the researcher chose to discuss the experience of each organization in relation to the research questions. The order in which findings are presented in this chapter does not suggest an emphasis on any one agency or dimension, but represents how the study sought to answer the research questions posed in Chapter II. They are to what extent, if any:

1. did each agency establish a sense of urgency (discrepancy) or collective buy-in for change
2. did agencies find the model appropriate for the populations served, its employees and the environment

3. was principal support reflected at each agency and leaders considered to be transformative in their leadership style
4. did internal and external challenges affect member's confidence (efficacy) in organizational change
5. did staff members feel the change would benefit them, the clients they serve and the organization (valence).

Of the 320 passages that were included in the analysis, 158 demonstrated that members of the agencies were engaging in behaviors and using language that represented the five dimensions of organizational change. Conversely, more than half (n=162) reflected that members of the agencies were engaging in behaviors and using language that were contrary to sentiments of the five dimensions of organizational change.

Armenakis's et al. (1999) readiness dimensions (principal support, valence, efficacy, discrepancy and appropriateness) provided the concepts used in the initial coding of the data. Analysis was first conducted within each of the five dimensions and then across dimensions. Several prominent themes that emerged under and each dimension were operationalized. Under each code four subcategories were introduced. Under the category Discrepancy themes of the urgent need for change (D1), reasons for proposed change are clear (D2), administration reflect buy-in (D3) and recognition of danger of staying the same (D4), were explored. Under the category Appropriateness, the following themes were explored; the change is appropriate for organization's structure and formal systems (A1), the change addresses the problem the organization is attempting to solve (A2), the change is manageable within the environment (A3), the change addresses the needs of the clients served (A4). The following themes were explored under Efficacy: resources are made available to implement change (E1), demonstration of trust in the leaders of the change (E2), members' confidence in their ability to learn new skills (E3) and the capacity to use acquired knowledge and skills (E4). Under Principal Support the themes: a committed change messenger has been identified within the agency (P1), transformative

leadership style is clearly reflected by administrators (P2), change leaders demonstrate behavioral integrity (P3) and respected front line staff demonstrate actions that support change (P4) were explored. The following themes were explored under the category Valence: Members demonstrate their belief that the proposed change will benefit them (V1), clients (V2), organization (V3) and members actively take part in activities that support implementation (V4). These themes represent the perspectives of the staff members, administration and the Sanctuary consultant.

Discrepancy

The following tables represents the frequency of statements from the coded text that were found to demonstrate or contradict a sense of urgency (discrepancy) or collective buy-in for change within each agency.

	D1	D2	D3	D4
Nazareth	0	1	3	1
Kindertowne	1	0	0	0
Mountain View	2	1	3	0
Patterson Home	4	2	0	1
Quiet Valley	0	0	0	0
Total	7	4	6	2

Table 4.1 Frequency of coded statements reflective of Discrepancy

	D2	D3
Nazareth	0	1
Kindertowne	1	2
Mountain View	1	0
Patterson Home	3	0
Quiet Valley	2	3
Total	7	6

Table 4.2 Frequency of coded statements contrary to elements of Discrepancy

Overall, the recognition of an organizational issue in urgent need of change (D1) was most reflected in the text. Patterson Home not only recognized an organizational issue, but members of the administration acknowledged the danger of staying the same as reflected in their Organizational Self-Assessment:

Strong support from administration to change the culture of violence and aggression. Across our multiple program sites, we experience several daily incidents of what the Sanctuary Model would define as physical violence… (Patterson Home, 2/1/08).

According to Fixsen et al. (2005), "the result of the exploration stage is a clear implementation plan with tasks and time lines to facilitate the installation and initial implementation of the program" (p. 15). After attending the five-day training in April 2008, Patterson Home assembled a Core Team and began meeting to discuss "high staff turnover and the issue of violence and police involvement on campus" (Patterson Home, 12/08/08). The sense of urgency propelled the agency to begin to execute a plan to implement Sanctuary practices to address these issues. However, after resources were made available and staff began acquiring new knowledge and changed practice behaviors, violence still persisted. Core Team meeting minutes noted:

Staff members are losing confidence in change. The issue (violence) that led the agency to implement change has not been improved. Looking to Bloom for help. Violence going on can she provide insight on this (Patterson Home, 5/17/2010).

Research suggests that implementation efforts often end at the initial operation stage as organizations are faced with real organizational issues that pose significant challenges to change (Macallair & Males, 2004).

The staff at Mountain View had a similar experience, during the first two years after the initial training, Mountain View struggled to implement in-house Sanctuary training and garner buy- in from staff members. Documents indicate that an incident took place on campus during the third year that helped to facilitate buy-in. There is no mention of the details of this incident, but it appeared to test the agency's commitment to the model's principles. According to the consultant's note, "Due to an incident that took place on campus, there seems to be staff polarization regarding the consequences of the aftermath" (Mountain View, 1/29/10). Members

of the staff complained that things were not resolved in a way that reflected Sanctuary concepts.

While the staff may have been divided on how to address the problem, there was evidence of renewed dedication to change. Core Team meeting minutes noted, "The Core Team has developed a statement to help the agency understand the purpose of Sanctuary for MV*"* (Mountain View, 7/1/10). The Core Team also noted, "[A member of the executive council] reported on their re-commitment to Sanctuary and to working as a cohesive group*"* (Mountain View, 8/5/10). The incident ignited discrepancy that motivated Mountain View to full implementation of organizational change.

Armenakis and Harris (2002) found that it is essential that organizational members identify the need to change for themselves rather than the committed few attempting to drive change. The Sanctuary consultant recognized that it "appears that the implementation is falling on the shoulders of middle management and not being pushed forward by executive leadership" (Quiet Valley, 6/4/10). There were no statements in the text that suggested a sense of urgency within the administration or among direct care staff members.

In contrast, the Kindertowne clearly identified an issue that members of the organization wanted to change. The Organizational Self-Assessment noted:

> Fear of retaliation from co-workers and agency managers as there is no way to report issues with true confidentiality... The formal hierarchy within the agency interferes with communication" (Kindertowne, 2/1/2008).

There were no statements in the text that suggested staff demonstrated readiness to address the issue or implement change.

There were several statements in the text that reflected sentiments of buy-in among the administration at Nazareth. The Organizational Self-Assessment noted, "The Board [of Directors] supports the agency's movement to adopt the Sanctuary Model" (Nazareth, 10/14/08).

In addition, the Sanctuary consultant reported "dedication is very high across core and steering teams" (Nazareth, 12/11/2009) and "active focus and enthusiasm by steering committee*"* (Nazareth, 8/17/2010). However, there were no statements that reflected a sense of urgency to implement change within the direct care staff. Agency leaders anticipated this resistance in the exploration stage:

> We would anticipant the greatest resistance to come from line staff who believe
> we are 'taking power' from them and feel they do not have the tools and or skills
> to replace old practices and behaviors (Nazareth, 10/14/08).

Whelan-Berry and Somerville (2010) suggest that resistance may occur if staff members are required to change behaviors when there is no perceived reason or reward that outweighs the discomfort of abandoning old behaviors. There is evidence in documents from Quiet Valley that suggests that the reasons for change were not made clear to staff, which resulted in a lack of urgency to embrace change. Notes from a leadership team meeting report that "the 'why' of Sanctuary doesn't resonate with staff" (Quiet Valley, 5/14/09).

Beer and Nohria (2000) contend that when an organization has a history of several change attempts staff members become less enthusiastic with each attempt. The Organization Self-Assessment indicated that "many staff members have already received training in START, Sanctuary, Real-Life Heroes, STAIR and Target" (Quiet Valley, 2/1/2008). These programs all had similar elements of the change model that was being proposed, and as a result, staff members reflected less urgency to embark on the three year plan to fully implement the Sanctuary Model.

Appropriateness

The researcher found no statement within the coded documents that reflect elements of appropriateness. The participating agencies did not find the Sanctuary Model to be appropriate to address the problem the agency was attempting to solve. They also did not find that the model

was appropriate for the organization's structure and formal systems, nor did they find it manageable within their environments. There was also no evidence that organizations felt that the model served the needs of the clients. The following chart represents the frequency of coded statements that the researcher found to be contrary to Appropriateness.

	A1	A2	A3
Nazareth	3	0	4
Kindertowne	1	0	0
Mountain View	0	0	0
Patterson Home	0	8	2
Quiet Valley	1	1	4
Total	5	9	10

Table 4.3 Frequency of coded statements contrary to elements of Appropriateness

Statements from leaders and staff members from the Patterson Home demonstrated that they experienced great difficulty finding the Sanctuary Model to be appropriate for addressing the most challenging organizational issues. While there was clear evidence of the agency's urgency to change the culture of violence that existed, there were no statements within the text that suggested that Patterson Home found the Sanctuary Model to be an appropriate intervention to address violence. In fact, there were several statements that were contrary to appropriateness. The Core Team acknowledged the need for more concrete solutions as noted in meeting minutes:

> Patterson Home lacks a concrete tool or resource to address the issue of violence and appropriate consequences for residents with varying levels of mental health needs. Staff struggle to use Sanctuary concepts when dealing with increased physical violence (Patterson Home, 7/20/09).

In the attempt to remedy the problem of increased violence, Patterson Home introduced several interventions (Therapeutic Crises Intervention (TCI), Assaulted Staff Action Program (ASAP), Peacemakers). While the urgency to find an appropriate intervention remained high,

51

confidence that leaders are capable of choosing an appropriate tool began to decrease. Steering

Team minutes noted:

> The focus seems to be on explanations of what is happening to address aggressive behavior, but there doesn't seem to be an acknowledgement of the problem or how we are getting to an outcome. People need basic concrete tools to walk away with and use. Is Sanctuary a new tool, an add-on, or a replacement? This question must be addressed in order to implement new resources and be manageable (Patterson Home, 8/19/09).

A gap existed between the agency's expressed need for a program designed to teach specific methods to address violence and the Sanctuary Model, which is an "organizational culture intervention… designed to facilitate the development of structures, processes, and behaviors on the part of staff, clients, and the community as a whole" (Esaki et al., 2013, p. 87). In other words, the Sanctuary Model intends to provide a theoretical framework to assist organizations in changing the overall culture, but Patterson Home needed a therapeutic intervention. Kindertowne also expressed the need for an intervention during the exploration stage of implementation. The Organizational Self-Assessment noted:

> The leadership team has received training about the effects of trauma and recognizes the significance of trauma as a treatment issue. However, the leadership team is looking for treatment protocols utilizing trauma informed practices (Kindertowne, 2/1/08).

The agency was never able to adjust to the lack of fit between the Sanctuary Model and the organizations' needs. As a result, the organization abandoned its implementation efforts during the second year.

Eventually, staff members at the Patterson Home began to express an understanding of the objective of the model and continued to progress through the stages of implementation, but never identified viable solutions for their primary concerns. The Core Team noted:

> Sanctuary is an operating system, not an intervention and we focused on the interventions and use of the tool box instead of providing an environment where

it's safe to heal. Patterson Home needed concrete tools to help staff members address violence (Patterson Home, 6/21/10).

Fixsen et al. (2005) states, "each attempted implementation of evidence based practices and programs presents an opportunity to learn more about the program and the conditions under which it can be used with fidelity" (p.17). Not only did Patterson Home find it difficult to use Sanctuary concepts to address violence on campus residential facilities, but they also found it challenging to implement it within other populations served by the organization. These challenges helped the organization realize the need to be innovative in their approach to implementation as well as the need to tailor the model to fit the organization's needs. Members of the Core Team commented:

> It's difficult to take it from the Core Team and get it to the birth homes. Training foster parents and getting it into the foster homes is also difficult. We need to make Sanctuary come alive on a day-to-day basis recognizing that it is a not strong enough model currently. Need a smaller group to design a model (Patterson Home, 11/22/10).

Statements from the text suggest that leaders at Quiet Valley did not believe that staff members had the capacity to connect trauma history with behavior. Instead, leaders felt members needed to learn concrete skills. Minutes from a leadership meeting noted:

> Trauma history is good, but empathy is a skill that we need to consider how or if we can teach it… We've become better at identifying people who don't understand empathy or will be hurtful with the information. Explore training for staff to learn empathy (Quiet Valley, 5/14/09)

Other agencies found organizational change difficult to manage with their environments. Particularly Quiet Valley and Nazareth found the model of organizational change to be less appropriate for the size of their agencies. Quiet Valley Core Team minutes report that "what appears to be the primary barriers to continued implementation [is] size [and] adaptation to community programs" (Quiet Valley, 6/11/10).

Eight hundred staff members serve approximately 3,500 clients served in residential, outpatient and school programs at Nazareth. The consultant and Steering Team often referred to the size of Nazareth as a hindrance to change implementation. The onsite agency assessment conducted by the Sanctuary Institute noted:

> Large campus and satellites reflect a complex organization. Because of its complexity there are "silos" and the resulting classic fragmentation of service delivery practices (Nazareth, 1/21/07).

In addition to being a very large agency with many programs and departments, the existence of a labor union appeared to be a challenge for Nazareth. The Sanctuary Model emphasizes the importance of every member of the staff receiving training in trauma informed practices. These trainings were time consuming and often presented a staffing challenge for agencies, especially those with union representation that had strict guidelines regarding time and staffing. Staff members also expressed concerns about how to create organizational change within a union environment. One member commented during a Core Team meeting:

> Union constraints seem to hinder implementation of change. How do we create a culture where people feel comfortable to ask questions, step in to help a co-worker who's obviously in need of a break, or be willing to say something about what they see or hear? (Nazareth, 3/3/09)

Principal Support

The following tables represent the frequency of coded statements from the text that were found to demonstrate a principal support within each agency and the frequency of statements from the text that were found to be contrary to elements to principal support.

	P2	P3	P4
Nazareth	0	0	1
Kindertowne	0	0	0
Mountain View	2	0	2
Patterson Home	3	2	5
Quiet Valley	1	1	0
Total	6	3	8

Table 4.4 Frequency of coded statements reflective of Principal Support

	P3	P4
Nazareth	4	0
Kindertowne	0	0
Mountain View	3	0
Patterson Home	4	1
Quiet Valley	0	1
Total	11	2

Table 4.5 Frequency of coded statements contrary to elements of Principal Support

Examples of principal support include this statement from Quiet Valley:

> Our leadership believed that in order for others to change, we must change also. Setting the example for change entails a commitment and a level of skill that we are determined to continue to try to achieve. (Quiet Valley, 2/12/08).

Patterson Home demonstrated strong principal support for change during the first two years of the three year implementation process. The Organizational Self-Assessment indicated that the "agency's Executive Director has identified [the] importance of transforming the agency into a trauma-informed organization" (Patterson Home, 2/1/08). Additionally, the administrator illustrated transformative leadership by acknowledging the influence of direct care workers in carrying the message of change. Core Team minutes noted:

> *Presentations should not be made by senior administrators instead by peer members who staff trust. [We] Need to solicit staff input in all phases of introducing and implementing the Sanctuary Model (*Patterson Home, 5/1/08).

The Sanctuary consultant noted: "Leadership is committed to the process. There is almost 100% attendance by the entire Steering Committee in TA calls, site visits and retreat days" (Patterson Home, 1/21/09*).*

Holt et al. (2010) suggests that principal support is not only a function of formal leaders within an organization, but informal leaders such as respected front line worker also serve as "champions for change" within the organizations. The value of informal leadership was reported

by a resident in one of the female dormitories that made great strides in creating change. She

reported, "staff really respect us and staff make us resolve things… if there is an issue here we're

going to squash it" (Patterson Home, 7/13/09).

Members of Nazareth's direct care staff also demonstrated support for organizational

change. Core Team minutes noted:

> [A staff member], without prompting, brought to his staff meeting his experience
> participating in the various workshop and challenged his colleagues to make
> every effort to improve their intervention skills with the client they work with
> (Nazareth, 11/9/10).

As the final year of implementation progressed and the agency moved toward full

implementation, principal support at the Patterson Home appeared to wane, the occurrences of

violence continued and staff began to regress back to discussions of behavior points and

consequences. There were fewer and fewer discussions about trauma and parallel process and

staff members appeared to be desperate for tools to address aggression. A Core Team retreat was

planned to encourage and assist staff. Notes from the retreat stated that the "role of power within

the organization was discussed including the history of lack of fidelity, when things are not going

well we fall back into the old ways of doing things" (Patterson Home, 3/18/10).

The 'history of lack of fidelity' has a great effect on readiness for change. When

members of an organization can't trust that the principal supporters of change will remain

committed to the process, they are less likely to believe that change is possible (Beer & Nohria,

2000). Ultimately Patterson Home failed its first attempt to achieve Sanctuary certification

because evaluators found "staff member's commitment to growth and change and emotional

intelligence to be weak" (Patterson Home, 4/28/10).

Principal support for organizational change remained strong at Mountain View

throughout the implementation process. The consultant described the Steering Team as

"extremely committed to growth and change and the development of a trauma-sensitive culture"

(Mountain View, 10/24/08). Although the Steering Team and administrators were ready to

implement change, resistance persisted among direct care staff members and Core Team

members. Much of the resistance resulted from staff member's perception of team member's

failure to demonstrate behavioral integrity as reported in Core Team meeting minutes, which

noted:

> Core Team members raising concerns around not feeling safe to address other
> staff members when they are not promoting or practicing Sanctuary…This has
> caused tensions and frustrations among steering committee and Core Team
> members (Mountain View, 11/20/09)

Simons (2002) defines leader behavioral integrity as "the perceived pattern of alignment

between the leader's words and deeds" (p.19). In other words, the extent that leader's words are

consistent with their behaviors. Leroy, Palanski, and Simons (2012) found:

> *"*In a turbulent work environment, leader integrity offers stability by offering
> followers clear values to identify with. This personal identification of the follower
> with the organization drives their willingness not only to promote a good image of
> the organization, but also to adapt to changes and take initiative to improve the
> overall effectiveness of the organization" (p261).

Upon recognizing that behavioral integrity is an important element of principal support which

facilitates readiness for change, Mountain View leaders responded to staff concerns and

increased communication. Steering Team minutes noted:

> *To continue with the commitment to open communication and social learning*
> *[administrators] will host a monthly 'coffee with [the agency directory]'. Staff*
> *members are encouraged to attend to talk with Executive Team* (Mountain View,
> 12/2/10).

This was a clear representation of transformative leadership. Open communication helped

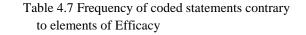members work more cohesively to achieve full implementation.

Efficacy

The following tables represent the frequency of coded statements from the text that were found to demonstrate elements of efficacy within each agency and the frequency of statements from the text that were found to be contrary to elements of efficacy

	E1	E2	E3	E4
Nazareth	2	1	3	2
Kindertowne	0	0	0	0
Mountain View	3	0	1	3
Patterson Home	3	1	0	4
Quiet Valley	0	0	1	2
Total	8	2	6	12

Table 4.6 Frequency of coded statements reflective of Efficacy

	E1	E2	E3	E4
Nazareth	1	0	2	6
Kindertowne	0	4	0	2
Mountain View	2	1	1	1
Patterson Home	4	3	4	3
Quiet Valley	9	1	2	4
Total	16	8	9	15

Table 4.7 Frequency of coded statements contrary to elements of Efficacy

In addition to a sense of urgency and principal support to make changes within an organization, Armenakis et al. (1993) maintains that an important component of readiness for change is the "organization's capacity to successfully make those changes" (p.681). This organizational capacity is more concretely defined as efficacy, or the agency's belief that it possessed the resources and ability to successfully implement change. During the exploration stage of implementation, administrators at Nazareth clearly illustrated strong organizational efficacy. The Organizational Self-Assessment noted:

> *There are many very committed and hardworking staff who are extremely open to the teaching of the Sanctuary Model. The key is in identifying the mid management leadership group who can serve as the bridge between agency leaders and frontline staff. We see these staff in a variety of positions and programs. In addition, there are many front line and newer staff who show potential in becoming leaders in this area...we feel we have identified those who can assist in this process* (Nazareth, 2/1/08).

The data supports Holt and Vardaman's (2013) theory that suggests that readiness is a continuous state wherein organizations must establish collective readiness at each stage of implementing change. The train-the-trainer approach is a key element of the Sanctuary Model. While Nazareth articulated readiness during the exploration and adoption stage, staff members questioned their ability to effectively train other staff members during the installation of practices. Members of the Steering Team commented:

> *Nazareth Services does not yet feel prepared to begin the eight module training, explaining that they want to ensure that the trainers are comfortable to lead participants through the material ...Staff members are experiencing challenges with the train-the-trainer approach* (Nazareth, 9/30/08)

Not only did staff members struggle with the train the trainer concept, but members seemed to find the material difficult to understand. A member of the Steering Team was clearly frustrated by staff members' diminished capacity to acquire and use new knowledge and skills. He commented "if they aren't getting it, they can't implement or train others. The fact that people are uncomfortable goes back to not knowing the material" (Nazareth, 1/26/09).

During the final year of implementation, resources were made available to implement change. Laptops and projectors were ordered to enhance module training. Staff members responded positively to this investment of resources. Comments from module training evaluations included, "I think we were well equipped to use what we learned at work. On the job training will best ensure knowledge of the tools and concepts presented" (Nazareth, 6/30/10). When employees began to demonstrate confidence in the ability to use new knowledge to implement organizational changes and embed practices into their daily activities, the organization was able to move toward full implementation.

Patterson Home also exhibited readiness for change during the early stage of implementation by making human resources available to support the change efforts. The

organizational self-assessment noted that "[A]new position Director of Programs and Services was created to assist with implementation and a Sanctuary Leadership team [was] established (Patterson Home, 2/1/08).

Members also reflected the capacity to use acquired knowledge and skills, the Sanctuary consultant noted that "Employees now use the reenactment triangle as part of their deconstruction" (Patterson Home, 10/22/08). Employees were able to use their knowledge of trauma and Sanctuary concepts to help residents in the midst of physical aggression. While staff members were able to demonstrate their ability to learn and use new information, there was some skepticism regarding administration's ability to "sustain and accomplish this initiative" (Patterson Home, 5/12/08).

Similarly, Aarons et al. (2010) findings suggest that many organizations mistakenly assume that increasing staff training will increase staff confidence in their ability to implement change Patterson Home recognized that "they have been training staff without making sure that they are absorbing information and putting into practice" (Patterson Home, 2/23/09). Over time, direct care worker's ability to implement change is most affected by limited resources, time constraints and conflicting goals (Lipsky, 2010). Comments from Core Team meeting support this claim, team members noted that "Child Care Workers don't have the time to train consistently. Pressure doesn't allow time to change/ implement change (Patterson Home, 6/16/09). The text revealed that while the overall goal was organizational culture change, direct care workers wanted concrete tools to address violence, while the model emphasized training and learning concepts. This conflict had a significant effect on readiness for implementation.

Lack of understanding hampered staff member's confidence in their ability to implement change at the Kindertowne. Steering Team minutes noted that (Kindertowne, 12/29/08).

Ideally, during the five-day training the Steering Team becomes knowledgeable and committed to Sanctuary concepts. The team then returns to their agency to train, supervise, and monitor staff members' implementation. Statements from the Quiet Valley suggest that team members could not have the capacity to use acquired knowledge and skills because they did not fully comprehend the model or what was required of them. There were also statements from the text that demonstrated lack of trust in change leaders. One Core Team retreat participant commented; "[I] didn't feel that I can speak openly around so many supervisors in the room" (Kindertowne, 1/30/09). The model suggests that members of the Core Team should be the culture carriers for the organization. It was clear that internal challenges affected Core Team readiness to implement change.

Similar to the experience of staff members from the Kindertowne, members of Mountain View also left the five-day training without a clear understanding of how to implement organizational change. According to the Sanctuary consultant:

> The Core Team was struggling with understanding that Sanctuary is not simply for the residents; but relies mostly on the work of the care team and the overall organization. Also the Core Team was in need of a better understanding of the 7 Sanctuary commitments and the practical ways in which they are implemented at other agencies (Mountain View, 11/21/08).

However, Mountain View's Core Team continued to exhibit commitment and had the benefit of having a dedicated consultant. This increased their capacity to acquire and use new skills. An evaluation of the Core Team retreat reported:

> 65% (11) of the 17 participants that attended the Core Team Retreat reported that they felt confident moving forward with the implementation of the Sanctuary Model (Mountain View, 9/22/08).

Members were confident in their ability to implement change, but lacked a clear plan. There is

also evidence that suggests that resources were not made available during the initial stages to

promote readiness. Consultant reports indicated:

> "Mountain View is behind in training their staff in the Sanctuary Model … At
> this time it is not clear who, in fact, will be facilitating the training (Mountain
> View, 4/27/09)

Another consultant report noted:

> Several organizational challenges have impeded implementation. The training
> coordination was transferred to another position without a replacement. Leaving
> no one to facilitate training (Mountain View, 6/9/09).

> The train the trainer approach also presented a challenge for Mountain View. Staff

members lacked the capacity to use acquired knowledge and skills to teach others. As a result

training was delayed for several months. In response to staff concerns, resources were made

available to enhance efficacy to promote change. Consultant notes report:

> A number of Core Team members expressed a lack of guidance and direction;
> largely due to not having a designated person overseeing/ coordinating Sanctuary
> at MV… A new Sanctuary coordinator has been hired (Mountain View, 4/22/10).

> Leaders at Kindertowne recognized that resources may not be available to implement

organizational change. The Organizational Self-Assessment noted:

> If organizational change of this type is to be accomplished, an agency must
> allocate the resources necessary. Unfortunately, resources are not always readily
> available or able to be attained (Quiet Valley, 2/12/08).

Several statements from the text reflect concerns regarding the costs of implementation played a

significant role in inhibiting readiness for change:

> Make it cost efficient. Do not waste human resources by over training. Train
> people in what they need to know to do and manage their jobs
> (Quiet Valley, 2/26/09)

> Training is time consuming. Modify to make efficient and effective
> (Quiet Valley, 3/4/09)

Kindertowne's plan to only "train people in what they need" to save resources left staff members under-trained and without the capacity to use acquired knowledge and skills. Comments from module training evaluations included "I don't know what to do with this new information" (Quiet Valley, 3/31/10) and "not sure if module information will translate to real life situations" (Quiet Valley, 6/30/10). Training participants also commented "how do we do the right thing when time doesn't allow" (Quiet Valley, 7/17/09). When asked what participants believed they would need to implement the Sanctuary Model, one participant summed up the overall sentiment "support, more training, more time, resources, cooperation from school board, more staff [and] trust" (Quiet Valley,12/31/09)

Valence

The following tables represent the frequency of statements from the text that were found to demonstrate elements of valence within each agency and the frequency of coded statements from the text that were found to be contrary to elements of valence.

	V1	V2	V3	V4
Nazareth	1	1	3	0
Kindertowne	2	1	1	0
Mountain View	3	3	2	4
Patterson Home	0	2	1	4
Quiet Valley	0	1	0	3
Total	6	8	7	11

Table 4.8 Frequency of coded statements reflective of Valence

	V1	V2	V3	V4
Nazareth	4	3	3	1
Kindertowne	2	2	0	1
Mountain View	4	0	0	0
Patterson Home	5	3	2	1
Quiet Valley	1	1	3	3
Total	16	9	8	6

Table 4.9 Frequency of coded statements contrary to elements of Valence

Though out the three year implementation process, Nazareth continued to struggle with staff buy-in and concerns about the lack of tangible outcomes. One of the initial consultant reports noted that the "team seems very frustrated with how slow the initiative is moving and the lack of tangible outputs for the labor" (Nazareth, 9/19/08).

Frustration and lack of tangible outcomes affected member's valence. Armenakis et al. (1999)

contend that in order for staff members to find value *(valance)* in the change process there must

be concrete rewards that outweigh the inconvenience of abandoning old behaviors or taking on

more responsibility. Steering Team minutes indicated:

> [A member of the Steering Team] asked the committee about the ramifications of
> not being on the [steering committee] either to her job or leadership… They
> indicated that expectations as a department head would continue in terms of
> promoting Sanctuary within the RTF *(*Nazareth, 9/9/09)

This employee appeared to be serving on the Steering Team out of obligation and fear of

consequences, rather than because he/she found value in promoting organizational change. When

department leaders and administrators fail to find value in change it is very difficult to convince

the rest of the organization that change is necessary (Weiner, 2009). This was evident during a

Steering Team meeting when one team member commented "campus thinks Sanctuary is a joke"

(Nazareth, 2/18/09). Similar to Armenakis et al.'s (1999) findings, members of Nazareth

expressed greater value in implementing the model once they began to see positive outcomes.

Team meeting minutes from the last year of implementation noted that "several people had very

inspiring brags about the progress and successes around implementation of the Sanctuary Model

and their positive effect on both staff and clients" (Nazareth, 10/12/10).

When asked what participants found to be the most valuable aspect of Sanctuary module

training, one participant responded:

> Made me be reflective in what we can could do better, The idea that we are
> committed to change to better help everyone in this organization, Love the
> strength base, great model (Nazareth, 12/31/10).

Armenakis et al. (1999) simply define valence as "what's in it for me". There were statements

from the text indicating that staff members felt that implementing the model would benefit them

personally, financially or professionally. The Sanctuary consultant recognized the lack of value

and implored them to:

> Find the information meaningful to them in order to adopt it… As staff members
> see the value of Sanctuary there's greater buy in. Incorporating Sanctuary with
> ongoing learning supports that process (Patterson Home, 2/11/0).

The text also revealed that staff members failed to find personal value in the change because they

did not feel that the model was relevant to their work. Evaluations of module training report that

"Participants find value in participating in training as a group, but many did not feel that

Sanctuary training [is] relevant to my job" (Patterson Home, 3/10/10).

Other staff members commented:

> *[We] don't use in the business office, concepts related to childcare workers, not
> me… some direction on where this is going within preventive services* (Patterson
> Home, 6/30/10)

A member of the Core Team noted:

> *One size fits all implementation does not fit. Sanctuary does not feel like it is for
> Community Services. I am left trying to figure out how it works for me - a leader
> in Community Services. It feels like noise after a while* (Patterson Home, 4/12/10)

Although staff members struggled to find meaning for themselves, there is evidence that

they found that organizational change would be beneficial for the clients served by the agency.

The Core Team meetings noted that "Patterson [is] moving forward with actively training foster

parents in the model" (Patterson Home, 1/21/09).

Members of the Core and Steering Teams participated in activities that supported

implementation, demonstrating a belief that change would benefit the organization, but the Core

Team was keenly aware of the need to establish buy-in from the rest of the organization. Core

Team minutes noted:

We need to emphasize integrating the training into personal practice. Before we can move forward with implementing tools we need to determine staff readiness (Patterson Home, 2/23/09).

During the initial stages of implementation staff members were challenged to find value in organizational change. The consultant reported **"**there seems to be an undercurrent in the organization that Sanctuary is 'just a thing' and staff members having a difficult time with the change process" (Mountain View, 7/23/09).

The consultant also noted:

> Need to address staff attitude regarding Sanctuary (based on comments made by the staff)… Concerns were raised that many of the changes are being seen by those at the director and administrator levels, but not necessarily by direct staff who work closely with children (Mountain View, 11/19/09)

Unlike the other organizations included in this study, youth in residential programs at the Kindertowne attended the local public schools. This created an external challenge to organizational readiness for implementation. It also impacted members' belief that the change would be beneficial for client. One staff member commented, "Residents attend public schools where there are real world consequences for behavior" (Kindertowne, 12/30/08). This statement suggests that the staff member felt that there were no "real world consequences" for behavior at the Kindertowne because Sanctuary Model core principles prohibits physical restraints and punitive consequence for trauma related behavior. Staff members had a clear understanding of the system in which the youth were involved and heartily questioned the benefit of teaching change in one part of their larger social system.

Another staff member noted:

> Kindertowne will be applying various treatment methods with a child, but questioned who would follow up with a child once discharged from the agency (Kindertowne, 1/30/09)

However, the text suggests that staff members found value in some of the Sanctuary tools and

demonstrated readiness to implement them with youth. Core Team meetings noted:

> As an organization [Kindertowne] has changed their programs to suit our
> population in care …we are beginning to listen to our children and involve them
> in their plan of care (ICMPS, Red Flag meetings, etc.) This was not done in the
> past (Kindertowne, 3/25/09).

Administrators at Mountain View chose to delay staff training until there was more

organizational support and buy-in for the implementation of change. The lack of training affected

staff member's perceptions and ability to find value in change. Nearly one year after the Steering

Team attended the five-day training, staff members began participating in Sanctuary training.

When asked what the most valuable aspect of Sanctuary module training was, one participant

responded, "being educated about myself and how I am affecting my job" (Mountain View,

9/30/09). Core Team meeting minutes noted that "culture is changing, but there is still more

work to be done. Training have played an important role in this" (Mountain View, 2/3/11)

After committing to change, Mountain View was able to progress through the stages of

implementation and staff members actively took part in activities that support implementation

Core Team meeting minutes also noted:

> *Mountain View has worked hard to embed concepts in daily practice. They*
> *renamed the "Behavior management committee to the Behavior growth and*
> *change committee in order to promote coherence with the seven commitments."*
> *Artifacts that reflect the model, language and rituals have been added to the*
> *environment to facilitate culture change* (Mountain View, 1/6/11)

Emerging Themes

Two additional categories emerged from the text and were identified as *Mentorship* and

Vision. Miles and Huberman (1994) suggest that when naming codes, the researcher should

choose "a name that is closest to the concept it is describing" (p.64). Therefore, Mentorship and

Vision were added to the list of codes as those names most closely reflected the themes

developed in the text. To further explain the meaning of Mentorship and Vision, the researcher

operationalized each into four elements based on what was revealed in the text and in the review

of the literature. The following chart details the elements of Mentorship and Vision:

Vision	**V1a**	Members articulate idealized future goals
	V2a	There is evidence of a clear understanding of what needs to be achieved
	V3a	Members are involved in goal focused activities and planning committees
	V4a	Leaders use inspirational imagery and language that reflect future goals
Mentorship	**M1**	Members and administrators have a reciprocal, as opposed to one-way relationship with a person that has extensive experience
	M2	The organization is engaged in a learning partnership with other organizations
	M3	There is evidence of regular consistent interactions with experts in the implementation process
	M4	Members report a close relationship and respect for an external expert

Table 4.10 – Elements of Vision and Mentorship

Mentorship

"Most skills needed by successful practitioners can be introduced in training, but really

are learned on the job with the help of a consultant/ coach"(Fixsen et al., 2005, p. 29). Sanctuary

consultants were hired by Andrus Sanctuary Institute to assist agencies through organizational

change. These consultants were formal and informal leaders from other child welfare

organizations who successfully implemented the Sanctuary Model. The mentorship received

from the Sanctuary consultant was essential in creating readiness for change and implementation

fidelity.

As evident in the experience of Nazareth, as well as other agencies in this study,

members of organizations often become excited about the idea of change and the prospect of

learning new skills to enhance practice, but that excitement often diminishes when faced with

day to day responsibilities and the challenges of convincing all staff members of the necessity of

change. In her study of nurses in healthcare organizations, Melnyk (2007) found that mentors

with in-depth knowledge of the evidence based practice to be implemented was a "key

mechanism to assist in consistent implementation of evidence based practice, especially when competing priorities and constraints exist" (p.123). Another study indicates that staff members who received mentoring had stronger confidence, greater implementation fidelity and stronger group cohesion (Melnyk & Fineout-Overholt, 2001). In addition, Ager and O'May (2001) found that staff training alone could not effectively motivate staff members implement evidence based practices without the additional assistance from a coach. Similar findings resulted from this study. Those agencies with a dedicated Sanctuary consultant who served as a mentor reflected more positive expressions of the dimensions of readiness for change. Thus, the researcher included the category mentorship to the content analysis.

The following tables represent the frequency of coded statements from the text that were found to demonstrate elements of mentorship within each agency and the frequency of statements from the text that were found to be contrary to elements of mentorship.

	M1	M2	M3	M4
Nazareth	0	1	5	0
Kindertowne	0	2	0	1
Mountain View	1	1	0	0
Patterson Home	1	0	1	2
Quiet Valley	1	0	1	0
Total	3	4	7	3

Table 4.11 Frequency of coded statements reflective of Mentorship

	M1	M3	M4
Nazareth	5	0	0
Kindertowne	0	1	1
Mountain View	0	0	0
Patterson Home	3	1	0
Quiet Valley	1	0	2
Total	9	2	3

Table 4.12 Frequency of coded statements contrary to elements of Mentorship

The above chart shows that regular, consistent interaction with an expert in the implementation process was frequently reflected in documents from Nazareth. However, the text also revealed that the relationship between the mentor and the agency was not reciprocal. The agency relied heavily on the guidance of their consultant who seemed to employ a typical top-down style of management, demanding that staff embrace the model rather than helping them to find value in the change. Statements from Steering Team discussions with the Sanctuary

consultant included, "Sanctuary Model and tools are not an option! This is your job!" (Nazareth 1/26/09) and "at some point, there must be a reality check - like it or not, the Sanctuary Model is just part of your job. It's how we do this at Nazareth (Nazareth, 7/21/09). This assertive form of mentorship appeared to be contrary to creating readiness, but as Wensel (2006) indicates, the mentee - mentorship relationship changes over time to meet the needs of the organization. Eventually the consultant's tone changed as Nazareth began to demonstrate readiness to embrace change. During the final year of implementation the Sanctuary consultant described staff at Nazareth as having "deep commitment and motivation to succeed" (Nazareth, 3/30/10).

The guidance of the Sanctuary consultant was also essential in assisting the Patterson Home to create readiness for change. The agency acknowledged their unwillingness to continue operating within a culture of violence and was eager to begin implementing the Sanctuary Model, the consultant was instrumental in helping Patterson Home recognize that the pace at which implementation occurs affects suitability. Consultant notes report:

> The first step must consist of confirming staff readiness before roll out to children…Most time must be spent on incorporating information …the mistake too many agencies make is to rush to implementation, ignore the incorporating phase and expect cultural change (Patterson Home, 2/11/09)

Fixsen et al.'s (2005) findings support the importance of mentorship and maintain that training alone will not lead to implementation, but "most skills needed by successful practitioners can be introduced in training, but really are learned on the job with the help of a consultant/ coach" (p.29). The Patterson Home consultant emphasized the importance of taking time to embed concepts into daily practices. Core Team minutes noted:

> Sanctuary consultant cautions Patterson Home about the pace at which they are implementing the model he noted the importance of making sure that we are implementing the process properly (Patterson Home, 9/22/08).

Similar to Principal Support and Efficacy, the mentoring relationship changed during the first two year of implementation. This may have been a result of the introduction of Sanctuary certification standards. When Patterson Home began implementation there was no expectation of achieving certification at the end of the three year implementation process. The Sanctuary Institute created certification to measure fidelity, but this seemed to change the relationship between the agency's and consultants. No longer was it possible for the agencies to move slowly to ensure that concepts were fully understood; now the agency was under pressure to meet standards prior to the end of the contract. The consultant for Patterson Home functioned at as a teacher and mentor, but the agency seemed to need a coach to guide them to certification. This sentiment was reflected by Steering Team members:

> Some team members feel that more specific direction from our consultant would benefit the integration process - currently very supportive role, but some would like to see more direction (Patterson Home, 7/8/09)

It was recommended that Patterson Home make achieving certification a "priority." However, consultant reports note that "20% of remaining staff do not understand/ use tools and concepts" (Patterson Home, 2/11/10).

Fixsen et al. (2005) cautions that "paper implementation may be especially prevalent when outside groups are monitoring compliance for accreditation (e.g., for accreditation) and much of the monitoring focuses on the paper trail. It is clear that paperwork in file cabinets plus manuals on shelves do not equal putting innovations into practice with benefits to consumers" (p.6).

During the beginning stages of implementation, Kindertowne Steering Team reported:

> Positive and supportive communication with Sanctuary consultant, Great commitment on part of Sanctuary faculty, Concerned with the timeless of response from the Sanctuary Institute (Kindertowne, 12/29/08).

However, after initial contact the Sanctuary consultant became far less involved, leaving the agency to implement the model without much guidance. The consultant encouraged the team to model its implementation after Mayfair, a Sanctuary Certified agency, but there was no evidence of further instruction. The agency made a request to the Sanctuary Institute for another consultant, but no one was ever assigned. Poor training materials and lack of guidance made implementation extremely challenging. Eventually, the Kindertowne discontinued their effort to fully implement the model but continued to use Sanctuary tools.

Review of Core Team minutes revealed that meetings at Mountain View were scheduled to be three hours long however, minutes from these meetings were vague and often consisted of just three or four sentences indicating a lack of procedures and order. Team meetings noted that the "Core Team does not have a clear working agreements/ expectations" (Mountain View, 7/17/09). Mountain View benefited from having a committed Sanctuary consultant. From the beginning, the consultant was very involved with the agency and made several visits and calls during implementation as evident by the number of consultant reports received by the Child Welfare Training Program (CWTP). During the third quarter of 2009, with encouragement from their consultant Mountain View began implementing Sanctuary tools, training staff members and began to hold meaningful team meeting as reflected by the minutes. The consultant also cautioned against paper implementation and "spoke about the need to show evidence of implementation of the Sanctuary Model, not just collecting papers" (Mountain View, 4/22/10). Mentorship from the consultant was an essential element in creating organizational readiness to implement change. Mountain View was able to progress from an agency without a clear understanding of the model or how to implement change to agency that achieved Sanctuary

certification. The "two day onsite certification visit revealed a committed staff and a highly committed administration" (Mountain View, 5/11/11).

The Sanctuary consultant was far less involved and Quiet Valley appeared to lack guidance from an expert mentor. Consultant notes often report that he "did not discuss" Sanctuary tools and many of the concepts during contact with the agency (Quiet Valley, 2/18/10). The Steering Team understood that the Sanctuary consultant would "function as liaison [and] encourage the workgroups to form their own internal leaders" (Quiet Valley, 9/18/08). However, internal leaders failed to emerge from within the organization, which left the agency without direction. Ultimately, Quiet Valley decided not to pursue Sanctuary certification. When the OCFS contract ended, the consultant discontinued contact. The consultant notes simply stated, "contract ending with agency" (Quiet Valley, 12/16/11).

Vision

The following tables represent the frequency of statements from the text that were found to demonstrate elements of vision within each agency and the frequency of coded statements from the text that were found to be contrary to elements of Vision.

	V1a	V2a	V3a	V4a
Nazareth	2	2	3	3
Kindertowne	1	1	2	0
Mountain View	4	5	4	1
Patterson Home	4	4	1	1
Quiet Valley	5	1	1	0
Total	16	13	11	5

Table 4.13 Frequency of codes statements reflective of Vision

	V2a
Nazareth	1
Kindertowne	2
Mountain View	2
Patterson Home	1
Quiet Valley	1
Total	7

Table 4.14 Frequency of coded statements contrary to elements of Vision

Armenakis et al. (1999) maintain that the urgent need for change is an essential component in creating readiness. However, a review of the data suggests that not only is

recognition of the need to change critical in creating readiness, but organizations also must

establish a shared vision for the future. According to Kotter (1996), "without a sensible vision, a

transformation effort can easily dissolve into a list of confusing and incompatible projects that

can take the organization in the wrong direction or nowhere at all" (p.7). In general, Vision is a

roadmap that leads organizations from the present and what it might be in the future. Kotter

(1996) recommends that Vision be "imaginable, desirable, feasible, focused, flexible and

communicable, it requires each member to be self-reflective, incorporating values that resonate

deeply" (p.82).

From the beginning of the implementation process, Nazareth recognized that there would

be resistance to change and began visioning a plan to address opposition. The organizational

Self-Assessment noted:

> We would anticipate greatest resistance to come from line staff who believe we
> are taking power from them and feel they do not have the tools and/ or the skills
> to replace old practices and behaviors. The only way to manage this resistance
> will be to constantly help staff who are more problem- focused or focused on
> behavior management by involving them at all levels to become part of the
> ongoing change process through a multitude of opportunities for training and
> communication with administrative and supervisory staff … Modeling is the best
> way to get the agency moving in the right direction… The Steering Committee
> needs to have a defined direction- each meeting should have a written agenda, a
> facilitator and concrete goals (Nazareth, 10/14/08).

This passage clearly demonstrates Nazareth's readiness and vision to transition from a problem

focused agency to an inclusive, goal centered organization.

Patterson Home's strong sense of urgency (discrepancy) helped to create their vision for

the organization. The agency clearly wanted to create a safe environment for residents and staff

members. The Organizational Self-Assessment noted;

> 69% in the reduction of restraints across all agency programs … While we are
> pleased with the outcome to date we are committed to further reduction (Patterson
> Home, 2/01/08).

Analysis of the text revealed that members of Patterson Home were involved in goal focused

activities and planning committees. Core Team meetings noted that "it was decided that the Core

Team break into groups to define/ describe what it will be like after successful implementation

(Patterson Home, 2/18/09)

The text suggests that the creation of Sanctuary certification by the Sanctuary Institute

disrupted Patterson Home's vision and created confusion within the organization. Core Team

meetings noted:

> Certification was part of OCFS requirements and [the director] assumed that
> everyone knew this…. It was voiced that the issue became fuzzy when we
> switched to talking about measurements after being told that it would take a
> lifetime [for] The Patterson Home to operationalize Sanctuary. The comment was
> made that it is not just about learning but living, but now we have goals and dates.
> Wanted it to be different than Joint Commission certification. This changes what
> people thought this was about (Patterson Home, 5/2/2010).

The Steering Team at the Kindertowne described itself as "very bonded and goal

directed" (Kindertowne, 4/3/09). Evidence in the text suggest that members were involved in

goal focused activities and planning committees. Steering Team meeting minutes noted:

> Transitioning the Steering Committee into the Core Team and making it one
> group working together rather than two individual groups. This is in hopes that we
> will be able to have more success with Sanctuary reaching more staff members as
> well as the kids (Kindertowne, 11/13/09).

Kindertowne articulated a clear vision for educating staff members and residents in trauma-

informed practices, but they were unsure about their readiness to proceed with full

implementation:

> We talked about deciding administratively if we are going forward with Sanctuary
> as a whole or not … We need to decide if we are going to try for accreditation or
> not (Kindertowne, 8/26/10).

Ultimately, Kindertowne chose not to pursue certification.

Mountain View also demonstrated a strong sense of vision. From the beginning of

implementation, members were involved in goal focused activities and planning committees

Consultant reports note that the "Core Team is beginning to take ownership of the Sanctuary and

has begun setting up sub-committees to aid in the implementation of Sanctuary throughout the

agency" (Mountain View, 1/22/08). Core Team meeting minutes also demonstrated a clear

understanding of what needed to be achieved:

> [The]Core Team has developed concrete goals to imbed Sanctuary concepts
> throughout the agency which include "certification, increased student and parent
> involvement, improving staff's feeling of safety, Sanctuary in all areas and
> increased communication (Mountain View, 12/2/10)

There is also evidence that members articulated idealized future goals:

> Although Mountain View still has quite a bit of work to do regarding specific
> implementation milestones, they are open to growth and change and are motivated
> to work on these tasks in 2010 - aiming for certification" (Mountain View,
> 12/17/09).

In addition, consultant reports noted*:*

> Mountain View is eager to pursue certification next April and have formulated a
> certification committee to take a closer look at the standards to inform next steps
> with implementation. In addition, funding has been secured to hire a Sanctuary
> coordinator (Mountain View, 4/5/10)

Leaders used inspirational imagery and language that reflect future goals:

> Sanctuary is a (trauma- informed) model that will help our agency foster a
> creative environment of trust, respect, open communication, safety and dignity
> and worth for everyone, no matter who you are or what your position or job is. It
> gives us concrete tools that you will learn in training, that have been proven to
> reduce restraints and the number of incidents. Sanctuary will help us go from
> "dealing with children" to "treating children." It will help make work a good place
> to come every day (Mountain View, 7/1/10).

Overall, Mountain View demonstrated all elements of vision and successfully implemented the

model as measured by the Sanctuary certification evaluation.

Staff members at Quiet Valley were involved in goal focused activities and planning committees, "Quiet Valley has a 7 member and 40 member Core Team" (Quiet Valley, 9/30/08) However, there were several reports that members lack dedication as evident in their attendance and participation. The administration at Quiet Valley was very focused on compliance and quantitative methods to measure outcomes. A logic model and training schedule were created to ensure that the model was implemented "effectively and efficiently." The creation of the measures suggests that Quiet Valley had a sense of vision because there was a clear understanding of desired outcomes. However, staff members and direct care staff did not appear to appreciate the need for documented outcomes. During the creation of the logic model a staff member commented "I thought we were already committed to this idea, we just need to do it" (Quiet Valley, 3/24/09).

Summary

This chapter examined the collective experience of the child welfare organizations, using Armenakis et.al's (1999) readiness for change theory. The five dimensions of readiness for change were used as the core categories, or codes (discrepancy, efficacy, principal support, valence and appropriateness) for analysis. Using directed content analysis, two new categories (vision and mentorship) emerged.

This study on organizational readiness for change extends Armenakis et al. (1999) theory into child welfare organizations, thereby adding to the literature across fields. The researcher also extended the theory to include the dimensions Vision and Mentorship based on findings from the study. Holt et al. (2007) expanded on Armenakis et al. (1999) theory to suggest that it is the collective content (what is being changed), process (how the change is being implemented) and context (circumstances) that determines the extent to which members of an organization are

cognitively and emotionally ready to embrace change. The results from the current study support this supposition. Findings suggest that the manner in which the change was being introduced (process) to the agency greatly affected staff members' readiness to embrace change. Agencies that employed the typical top-down style of initiating change, like Nazareth and Quiet Valley reported less far less discrepancy, valence, principal support and efficacy among staff members.

Additionally, the circumstance under which the change was being implemented was also found to be an essential element in establishing readiness. Agencies like Patterson Home that exhibited a strong sense of urgency (discrepancy) also demonstrated more supportive dimensions of readiness. Agencies that identified as larger in size reported that the model of organizational change was less appropriate. The study also suggests the relationship between the agency and the consultant was critical in facilitating readiness for change. Overall, agencies that exhibited Armenakis et al.'s (1999) five dimensions of readiness and had a clear vision for organizational transformation and were successful in implementing change with the guidance of a committed mentor.

Implications for professional practice, professional development, policy, leadership, and future research will be identified in the next chapter, as well as a discussion of the limitations of the study.

Chapter V: Discussion

The purpose of this study was to explore the extent to which child welfare agencies demonstrated readiness to adopt organizational change. Specifically, the study looked at how five child welfare organizations reflected Armenakis's (1999) five dimensions of organizational readiness for change (discrepancy, appropriateness, efficacy, valence and principal support) as they sought to implement the Sanctuary Model of organizational change. A directed content analysis approach was used to analyze previously collected Sanctuary related documents to respond to the research questions. In doing so, the study expanded the child welfare body of knowledge which typically includes research on outcomes for children and evaluations of intervention to include organizational theory perspectives.

Understanding the extent to which staff members of child welfare organizations collectively demonstrate readiness for change informs practice of human service leaders and practitioners as they strive to facilitate organizational change. This qualitative inquiry highlighted dimensions of readiness from the viewpoint of direct care staff members, administrators and consultants from the Sanctuary Institute through the analysis of staff training evaluations, leadership team meeting minutes and consultant reports. Since the purpose of the study was to understand the degree to which agencies exhibited the five dimension of readiness, the research paid close attention the those statements in the text that were supportive of readiness as well as those that were contrary to readiness. Overall, those agencies that documented statements and behaviors that reflect support of discrepancy, appropriateness, valence, efficacy and principal support were able to successfully adopt the Sanctuary Model of organizational change as measured by the Sanctuary Institute certification evaluation. These findings support Armenakis et al. (1999) organizational readiness for change theory which suggests that increased

readiness for organizational change leads to increased implementation success. This study also

revealed that not only were the five dimensions of readiness essential to implementation

success, but those agencies that also had a dedicated mentor and a comprehensive plan for the

future were more apt to embrace organization change.

Implications for practice, professional development, education, policy, and further

research were also explored and will be discussed in this chapter. The chapter also identifies

limitations of the study.

Summary of the Research Process

This study employed qualitative methods to respond to research questions. Miles and Huberman

(1994) contend that exploratory qualitative methods are useful when the topic of inquiry has not

been addressed within a certain population. To date, no studies exist which explore

organizational readiness for change within child welfare organization. Thus, qualitative methods

were employed to explore this phenomenon. A directed content analysis methodology was

selected for this study. The researcher examined 357 documents which yielded 320 segments of

text that were relative to organizational readiness for change. The goal was to validate or extend

the existing organizational readiness for change theory by exploring readiness from the

perspectives of administrators, staff members, and consultants. This exploration led to the study

being both deductive and inductive in nature as while a specific theoretical lens was applied

throughout the study, the researcher remained open to themes or categories that extended beyond

the theoretical support domains.

The significance of this study is the potential to educate child welfare leaders and

administrators about importance of measuring staff members' readiness for organizational

change throughout the implementation process. The timeliness of this study was critical as several research studies report that nearly two thirds of attempts to accomplish organization change are unsuccessful (Beer & Nohria, 2000; Kotter, 1995). Notably, as child welfare agencies in New York and across the country embark upon transformational change efforts, determining the factors that influence change readiness of employees can assist leaders in more closely matching their methods for creating change to the needs of staff members and clients in order to garner the support and commitment necessary. Findings from this study support (Armenakis et al., 1999) claim that establishing readiness may decrease the number of unsuccessful attempts.

Discussion of the Findings

This study sought the answer to what extent, if any (1) did each agency establish a sense of urgency or collective buy-in for change (2) did agencies find the model appropriate for the populations served, its employees and the environment (3) was principal support reflected at each agency and leaders considered to be transformative in their leadership style (4) did internal and external challenges affect member's confidence (efficacy) in organizational change (5) did members find the change would benefit (valence) themselves, the organization and the clients. In addition, the following sub-questions were also explored (a) what effect principal support or lack thereof had on successful implementation; and (b) what strategies did these organizations use to adapt to internal and external challenges to change.

Each of the five dimensions of readiness influences and shapes the other. However, this study showed that discrepancy was one of the driving force in facilitating collective readiness for organizational change as evident in the experiences at Mountain View. During the first two years of Sanctuary implementation there were no statements from the text which demonstrated

that members of Mountain View experienced a sense of urgency to implement change until an "incident" took place on campus. The agency never elaborated on what the incident entailed but, recognition of an organizational issue in urgent need for change propelled the agency to actively participate in activities that facilitated change.

Coded Sanctuary related documents from each agency suggest that organizational leaders expressed more sentiments that reflected an urgency to implement change than did staff members. Armenakis and Harris (2002) found that it is essential that organizational members identify the need to change for themselves rather than the committed few attempting drive change. In, general there were several statements in the text that reflected discrepancy or urgency among the administration at Nazareth. However there was no evidence of staff members acknowledging an urgent need for change or demonstrating urgency. Although staff members failed to establish their own collective belief that change was necessary, the agency was able to implement Sanctuary tools and concepts to achieve certification.

For many of the agencies the desire to be granted Sanctuary certification was the basis for establishing urgency to implement change. Fixsen et al. (2005) maintain that obtaining accreditation from a regulatory agency does not necessarily equal improved organizational practices that benefit clients. Members of the Patterson Home noted that there was an "overemphasis on education and training and not enough on connection with emotional intelligence. Are we risking emotional intelligence? Are we moving too quickly to certification" From this observation, it appears that future research examining whether or not these agencies that appeared to rush toward certification were able to sustain change with fidelity would be beneficial to the field.

Findings suggest that Quiet Valley and Kindertowne failed to establish sufficient discrepancy to create readiness for change. Both agencies also experienced decreased principal support and mentorship which indicates that the change message was not persuasively communicated to staff members. Whelan-Berry and Somerville (2010) contends that resistance to change occurs if staff members are required to change behaviors without sufficient reason. In general, statements such as, "like it or not, the Sanctuary Model is just part of your job" did not lead staff members to find significant motive to embrace change.

Unlike the other agencies, Patterson Home bean implementation with an identified organizational issue in need of urgent change. Staff members were consistently the victims of violent attacks perpetrated by residents and the agency was desperate for an intervention, but questioned the Sanctuary Model's ability to appropriately address the problem. The need for a "concrete tool" was a sentiment shared by both the Kindertowne and Patterson Home. All the agencies in this study, with the exception of Quiet Valley, indicated that their Steering Team left the five-day training without a clear understanding of that the Sanctuary Model is a theoretical framework for organizational change, not an intervention. After being involved in implementation for nearly two years, members of the Patterson Home commented, "staff don't fully understand what Sanctuary is and I can't explain it". Quiet Valley reported "staff left 5 day training without a solid grasp of model and no clear method of implementation". Statements from Mountain View reflect that staff members did not understand that the model was "not simply for the residents". Theory and research that examines the relationship between the articulation of the change message and the creation of discrepancy and appropriateness seems to be warranted based on the observations of the researcher.

This study supports Armenakis and Harris (2002) position that appropriateness may include sentiments of discrepancy, efficacy and valance. Those agencies that found the model inappropriate and lacked a clear understand of its use also expressed less valence, efficacy and discrepancy. The size of the agency also effected appropriateness. While large agencies like Quiet Valley and Nazareth with large Core Teams allowed for greater multidisciplinary collaboration, staff members found the "size and scope of the organization poses challenges to implementation". Social cognitive theory recognizes that the interactions between staff members profoundly shape their perceptions of the organization (Wood & Bandura, 1989). Positive interactions within Core Teams and Steering teams lead to positive perceptions about organizational change and expressions of readiness. The creation of collective readiness requires individuals with varying sets of ideals to all invest in the same goal. This study shows that this is particularly difficult for large complex agencies that serve varying populations. Large agencies were less likely to find the Sanctuary Model appropriate for its size and organizational structure. Further studies would benefit from a comparison of the difference of manifestation of readiness within large and small agencies.

Findings from Nazareth, Patterson Home and Mountain View support Armenakis et al. (1999) and Larkin and Larkin (1994) claim that principal support for organizational change is not only in organizational leaders, but direct care staff members are often the impetus for establishing readiness for change. For the staff members and leaders at the Patterson Home principal support was strongly tied to tangible outcomes. Organization members were very supportive and actively took part in activities to implement the Sanctuary Model because the agency was plagued by violence. However, their enthusiasm began to lose momentum during the final year of when incidences of violence failed to decrease and staff turnover increased.

Mountain View had a similar experience. After the "incident" took place on campus, the organization was able to use Sanctuary principles with the support of their consultant to recover. While some staff members disagreed with the handing of the incident, principal support for change remained strong and internal leaders emerged within the staff.

Quiet Valley and Kindertowne both failed to express significant sentiments of principle support but for opposite reasons. Quiet Valley was involved in Sanctuary training long before attending the five-day training and had a clear understanding. Administrators focused on measuring outcomes and the context of the change and neglected the larger concern for the process of creating change which involves demonstrating principal support. Conversely, Kindertowne failed to establish principal support because staff members of who attending the five-day training without a clear understanding of the Sanctuary Model. While the agency may have been supportive of organization change, it was impossible for them to reflect support for the model because they did not understand its purpose.

Lack of understanding not only effected expressions of principal support, it also affected members' efficacy and their ability to belief that the change would benefit themselves, the organization and the clients they serve (valence). There were 28 statements from all five agencies that demonstrated members' confidence to implement change. Nearly half (n=12) of those indicated that members demonstrated the capacity to use acquired knowledge and skills. However, it is worth noting that there were 48 statements that suggested that members did not reflect elements of efficacy. A lack of time and resources to implement change was most noted as a challenge to valence. All the agencies shared this sentiment, but staff members from Kindertowne were particularly vocal, one staff member commented "how do we do the right thing when time doesn't allow".

Each organization contributed decreased efficacy to implement change to diminished trust in the leaders of change. Because child welfare organizations are traditionally bureaucratic in nature and there is usually a hierarchical system of power, it may be difficult for staff members trust that administration has truly adopted organizational change principles which promote shared governess and open communication. In order to respond to the internal challenges and facilitate trust, Mountain View and the Patterson Home created Sanctuary coordinator positions. This person was not a member of the administration and their function was to lead the change and carry the message to staff members. As a result these two agencies reported more positive expressions of efficacy. This finding is consistent with Appelbaun et al. (2008) finding which suggest that employee resistance is diminished and confidence is increased by transformative leaders who establish trust, open communication and participation. Research has shown that employees' commitment level will remain high if the leader is leader is perceived as credible and trust worthy even if the leader is ineffective in facilitating the change efforts (Herold et al., 2008).

Findings also suggest a connection between diminished trust in organizational leaders and decreased personal valence. The presence of a labor union that represented non-management staff at Nazareth's presented a unique external challenge to creating readiness for organizational change. Management questioned their ability to "breakdown the barrier of trust in the organization between management and union employees". Michaelis, Stegmaier, and Sonntag (2009) found that staff members recognition that the change would be beneficial to themselves was related to trust in management.

Overall, staff members reported that they felt organizational change would benefit clients, and the organization and actively took part in activities that support implementation.

These findings suggest that staff members wanted to see organizational change but failed to acknowledge personal benefit or themselves.   In fact, 16 of the 39 passages that were contrary to the sentiment of valence involved statements such as "this is not relevant to me" and "I'm left trying to figure out how this works for me". Documents also noted that staff members also experienced "conflict [between] Sanctuary values with individual personal values" Some felt that Sanctuary was "too soft" or a "joke". Nazareth anticipated the "greatest resistance to come from line staff who believe we are 'taking power' from them". Findings support their prediction and suggest that the fear of losing control or having power taken away was connected to staff's perception that there is no personal benefit in change.

This study also sought to explore the sub question: What effect lack of principal support had on the success of implementing organizational change? Findings revealed that all dimensions of readiness are interdependent of each other. Those agencies that demonstrated decreased principal support also demonstrated decreased efficacy, valence, discrepancy and appropriateness.

Additionally, the categories vision and mentorship emerged from the directed content analysis which was found to be essential elements in creating readiness for organizational change. Vision articulates a desired change from a current state to an ideal one (Armenakis & Harris, 2002). In general, those agencies that successfully implemented change as measured by the Sanctuary certification evaluation not only reflected sentiments of the Armenakis et al. (1999) five dimensions of readiness but also expressed idealized goals and demonstrated evidence of a clear understanding of what needed to be achieved. Notably, organizations whose staff members were involved in goal focused activities and planning committees exhibited greater vision. An example of vision creation was found in the coded text from Patterson Home

as Core Team staff members formed groups to "define/ describe what it will be like after successful implementation". Mountain View noted "Sanctuary will help us go from dealing with children to treating children". This use inspirational imagery and language that reflect future goals assisted the agency in creating vision.

Oswald, Mossholder, and Harris (1994) argue that in order for an organization's vision to be effective, staff members must find it salient. In order words, staff members must see the need for it (discrepancy) and find value in it (valence). The mistake many agencies make is to publicize a vision created by top administrators which include measurable benchmarks and assume that staff will understand and accept their plan (Larkin & Larkin, 1994). This was evident in the experience of Quiet Valley as members of the Steering Team created a logic model "to help implement Sanctuary Model correctly and efficiently". While the activity of creating the logic model demonstrated organizational vision, there were other elements of vision and readiness that staff members failed to demonstrate. Findings support the argument that vision alone does not lead to successful implementation.

According to Fixsen et al. (2005),

> "Implementation of evidence-based practice requires behavior change at the practitioner, supervisor, and administrative support levels. Training and coaching are principal ways in which behavior change is brought about in the beginning stages and throughout the life of evidence based practices and programs" (p.29).

This study supports these findings. Those agencies that reported having a more involved consultant also report more dimensions readiness, greater fidelity to the model and had more successful outcomes.

Implications for Policy

Broader issues woven into this study identified child welfare organizations as having high staff turnover, dealing with residents with complex mental health needs and tendencies toward violence and direct care staff that are often assigned multiple tasks with limited time and resources. This array of factors are important to understanding the challenges to establishing collective organizational readiness for change and the consequences of implementation failures. There are not only finance losses when implementation efforts fail, but the factors that that led to lack of readiness are exacerbated because staff members may have less faith in the organization and in the leaders of change.

The agencies included in this study received funding from the New York State Office of Children and Family Services (OCFS) to implement the Sanctuary Model. Findings reveal that it is important to establish readiness not just at the beginning but at each stage of implementation in order to achieve successful implementation and avoid wasting tax dollars.   A recent report by the United States Department of Health and Human Service, Office of the Assistant Secretary for Planning and (ASPE) support the findings of this study. The reports states "readiness to implement evidence based interventions effectively influences whether the time, energy, and money dedicated to this programs will be well spent" (Dymnicki, Wandersman, Osher, Grigorescu, & Huang, 2014, p. 2).

The federal government has shown growing interest in the body of knowledge on organizational readiness for change. As more state and federal agencies recommend the implementation of evidence supported models, the level of readiness is an important predictor to implementation success. The ASPE report outlines recommendations to the federal government to require organizations to assess readiness prior to applying for funding. It suggests that

"policymakers may include targeted questions about readiness in funding opportunity announcements (FOAs) and develop criteria to evaluate answers to these questions to incorporate information about readiness" (Dymnicki et al., 2014). Most human services organizations receive most, if not all of their funding from state and federal agencies. If regulatory agencies begin to mandate organizations to demonstrate readiness prior to applying for funding and after receiving funding it is imperative that agency administrators begin educating themselves about the dimensions of readiness. Schools of social work are also responsible for equipping new social workers the knowledge regarding readiness in order for them to be able to respond assist organizations in implementing evidence supported practices with fidelity. This knowledge would also make new social workers more marketable as they would be more capable of articulating readiness in funding applications.

Implications for Social Work Education and Practice

The Sanctuary Model of organizational change core concepts and principles align with social work values. Staff members were tasked to learn new behaviors and knowledge in order to respond more effectively in their environments to facilitate organizational change. Given their understanding of human behavior, systems theory, as well as, their role a change agents, it is reasonable to believe that individuals with a MSW degrees would be best suited to lead organizations that serve individuals, families and children in implementing organizational change. According to information found on each agency's websites, of the five agencies included in this study only one agency was led by an individual with a Master of Social Work (MSW) degree. After leading the agency through the successful implementation of the Sanctuary Model, he retired and was replaced by a person with a background in business.

Graduates with degrees other than social work often serve as Chief Executive Officers (CEO) in child welfare organizations and other nonprofits based on their master's level training in business, public administration and nonprofit management and the perception that social work graduates are not as well prepared for the job of managing an agency (Ezell, Chernesky, & Healy, 2004; Tierney, 2006; Wuenschel, 2006). Of the 233 fully accredited MSW programs across the United States, there are 68 programs that offer concentrations in management or administration (Council on Social Work Education, 2014). Specialized management courses are offered as electives to student after they have completed foundation courses (Rothman, 2012). The foundation practices course often include discussions regarding J. O. Prochaska et al. (1992) stages of change as it relates to individual and families. As seen throughout this study, these change concepts are relevant to organizations and drive Armenakis et al. (1999) readiness for change theory. However the connection between the micro practice and organizational theory is seldom effectively communicated in social work courses. Rothman (2012) found that "faculty members either have no interest in, or oppose, macro coursework" (p.6).

Research has shown that board of directors at human service agencies most prefer to hire individuals who have a Master of Business Administration (MBA) degree for CEO positions in human service organizations (Watson & Hoefer, 2014). However it is worth noting, that of the three agencies that successfully implemented the Sanctuary Model of change as measured by the Sanctuary Institute, one of the CEO had an MSW, one had a Master of Counseling degree and one worked for the agency for several years as a direct care worker before obtaining a MBA. T. Brown and Ginsberg (2008) found that social workers are often promoted to administrative positions after years of direct practice experience. In contrast, 15% MBA graduates are employed in nonprofit administration directly after graduation (Graduate Management

Adminssions Council, 2014). In light of these findings, more graduate schools of social work should offer concentrations in administration, post masters certificates in nonprofit management or enhance the current macro coursework to include sections on administration and organization change to better prepare students to compete for jobs in management. Research that examines the educational backgrounds and of child welfare administrators educational background and their ability to motivate organizational readiness for change would add to the current body of knowledge, as well as, support or discredit the perception of the value social work graduate education.

<div align="center">Recommendations for Further Research</div>

Although this study has illuminated the core components of readiness for organization change and expanded the theory to vision and mentorship, gaps still exists in the understanding of how readiness relates to successful implementation and the sustainability of evidence supported models of organizational change. This study revealed that for some agencies it was solely the desire to obtain accreditation that facilitated the creation a sense of urgency to implement change. Follow up research examining whether or not those agencies were able to sustain change and the relationship between motivation and sustainability would be beneficial to the field.

While an analysis of the teaching methods used during the five-day introductory training and the communication styles of change leaders was out of the scope of this study, findings suggest that those agencies that had a better understanding of the intentions of the model from the beginning of implementation demonstrated more dimensions of readiness. Therefore, the field of implementation science would benefit from examining the relationship between the way in which the change message is articulated and the creation of readiness.

In additional, the size of the organization posed a significant challenge to readiness. Further studies should include a comparison the causes of the difference of the manifestation of readiness within large and small agencies. This knowledge would help future implementation effort as agencies intending to implement change could tailor their efforts based on the scale of their organization.

<div align="center">Limitations</div>

A few limitations in the study should be considered. This research was based on the reflections of child welfare agencies in suburban New York State pursuing a specific model of organizational change. Results may also vary depending on the geographic locations. It is assumed that agencies in rural and urban areas may be presented with different challenges to creating readiness for change from those presented in this study.

The study employed a retrospective directed content analysis design. As with any qualitative study, the data analysis is subject to interpretation bias. Being aware of this, the researcher incorporated interrater reliability into this investigation to reduce the likelihood of misrepresentation of passages extracted from the agencies' documents. The use of retrospective secondary data also presented a limitation as there was no way for the researcher to obtain clarity regarding statements that were made several years ago. The researcher did not have Institutional Review Board (IRB) approval to interview individuals at each agency, nor were individual interviews within the scope of this study; therefore the responsibility of interpreting meaning rests solely with the researcher.

As previously mentioned, there are limits to employing the directed content analysis method which use theory as a framework to guiding the coding and data analysis. Because the researcher began data selective within the depth of the dimensions of organizational readiness for

change there was a chance of selecting statements that were supportive of the theory rather than those that were non- supportive. In order to reduce bias, the researcher coded contrary statements and those statement that were outside of the five dimensions with new categories which were considered for expansion of the existing theory.

Conclusion

Quality outcomes for children who receive services from child welfare agencies continue to be the central focus for policy makers, regulators and advocacy groups. Since the 1930's, with the creation of Aid to Dependent Children (ADC, later AFDC) as Title IV of the Social Security Act, the emphasis on ensuring the safety, permanency, and well-being of children has persisted (Kamerman & Kahn, 1993, 2001). Over time, advocates and researchers have acknowledged the relationship between child outcomes and organizational issues (high caseloads, staff retention, burnout, funding, etc.) and have called large-scale system transformation (DePanfilis & Zlotnik, 2008).

With transformational movements underway that have the potential to bring about significant improvements in children's well-being, child welfare outcomes, better working conditions and staff retention, understanding of the readiness for change is needed. The process of change is complex and requires staff members with varying degrees of commitment to collectively engage in behaviors that support implementation. As a result, only a few organizations have successfully implement organizational change (Kotter & Schlesinger, 2008). In order to increase the probability of success in child welfare organizational change efforts, leaders need to assess the level of change readiness of employees. In addition, when leaders of organizations have a better understanding of factors that promote readiness they are more

capable to development messages and strategies that attend to the needs of their employees, thus increasing the likelihood of garnering employee commitment.

The purpose of this study was to examine the extent to which five New York State child welfare organizations engaged in the process of implementing the Sanctuary Model of organizational change demonstrated dimensions of readiness as defined by Armenakis et al. (1999). Each organization varied in size from a large multiservice agency service over 3,500 youth and families in outpatient, residential and educational programs to a mid- sized agency whose focus is foster care and residential programs. The overall goal was not only to support Armenakis et al. (1999) findings which suggest that organizations that demonstrate dimensions of readiness are more likely to successfully implement organizational change, to expand the study to include other elements of readiness that were essential creating change.

To this end, the current study employed a directed content analysis approach with a multiple case study design. A secondary analysis of previously collected Sanctuary related documentation was conducted. Findings from this study suggest that those agencies that exhibited more dimensions of readiness were also more successful in implementing organizational change. In addition, the extent to which the organization articulated idealized goals and organizational vision was found to be essential elements in creating readiness. The level of interaction with a knowledgeable, dedicated consultant also significantly impacted implementation outcomes. A number of implications for social work education and practice, future research recommendations as well as policy implications were also presented.

Since the Federal government has now recognized readiness as an important component in the adoption of evidence-based practices within human services agencies, it is imperative for child welfare organizations to understand and be able to assess readiness within organizations.

95

Being able to effectively articulate readiness for change in funding opportunity announcements (FOAs) will enhance the likelihood of obtaining grants to implement programs and practices they will assist organizations to transition from "dealing with children" to "treating children".

Bibliography

Aarons, G. A., Glisson, C., Green, P. D., Hoagwood, K., Kelleher, K. J., Landsverk, J. A., & Hlth, R. N. Y. M. (2012). The organizational social context of mental health services and clinician attitudes toward evidence-based practice: a United States national study. *Implementation Science, 7*. doi: Artn 56Doi 10.1186/1748-5908-7-56

Aarons, G. A., Hoagwood, K., Landsverk, J., Glisson, C., Kelleher, K., & Cafri, G. (2010). Psychometric Properties and US National Norms of the Evidence-Based Practice Attitude Scale (EBPAS). *Psychological Assessment, 22*(2), 356-365. doi: Doi 10.1037/A0019188

Abramovitz, R., & Bloom, S. L. (2003). Creating sanctuary in residential treatment for youth: from the "well-ordered asylum" to a "living-learning environment.". *Psychiatr Q, 74*(2), 119-135.

Ager, A., & O'May, F. (2001). Issues in the definition and implementation of "best practice" for staff delivery of interventions for challenging behaviour. *Journal of Intellectual and Developmental Disability, 26*(3), 243-256.

Andrus Children's Center. (2007). *Sanctuary Leadership Development Institute Implementation Guide*. Yonkers, NY.

Appelbaun, S. H., Berke, J., & Vasquez, J. A. (2008). The role of leadership during large scale organizational transitions: Lessons from six empirical studies. *Journal of American Academy of Business, 13*(1), 16-24.

Armenakis, A. A., & Harris, S. G. (2002). Crafting a change message to create transformational readiness. *Journal of Organizational Change Management, 15*(2), 169-183. doi: Doi 10.1108/09534810210423080

Armenakis, A. A., Harris, S. G., & Feild, H. S. (1999). Making change permanent: a model for institutionalizing change *Research in Organization Change and Development, XII*, 97-128.

Armenakis, A. A., Harris, S. G., & Mossholder, K. W. (1993). Creating Readiness for Organizational-Change. *Human Relations, 46*(6), 681-703. doi: Doi 10.1177/001872679304600601

Austin, D. M. (2002). *Human services management : organizational leadership in social work practice*. New York: Columbia University Press.

Bailey, C. A. (2007). *A guide to qualitative field research* (2nd ed.). Thousand Oaks, Calif.: Pine Forge Press.

Bandura, A. (1986). *Social foundations of thought and action: A social cognitive theory*. Englewood Cliffs, NJ: Prentice Hall.

Barratt, M. (2003). Organizational support for evidence-based practice within child and family social work: A collaborative study *Child and Family Social Work, 8*, 143-150.

Barth, R. P., Lloyd, E. C., Christ, S. L., Chapman, M. V., & Dickinson, N. S. (2008). Child Welfare Worker Characteristics and Job Satisfaction: A National Study. *Social Work, 53*(3), 199-209.

Bass, B. M. (1999). Two Decades of Research and Development in Transformational Leadership. *European Journal of Work and Organizational Psychology, 8*(1), 9-32.

Baxter, P., & Jack, S. (2008). Qualitative case study methodology: Study design and implementation for novice researchers. *The qualitative report, 13*(4), 544-559.

Beer, M., & Nohria, N. (2000). Cracking the code of change. *Harvard Business Review, 78*(3), 133-+.

Benamati, J. (2005). *Increasing trauma-informed care in a residential treatment center for children with posttraumatic stress.* (Doctor of Education Dissertation), Nova Southeastern University

Berg, B. L. (2007). *Qualitative research methods for the social sciences* (6th ed.). Boston: Pearson/Allyn & Bacon.

Bertelli, A. M. (2001). Pitiful plaintiffs: Child welfare litigation and the federal courts. *Social Service Review, 75*(2), 344-346. doi: Doi 10.1086/322214

Berzin, S. C., Thomas, K. L., & Cohen, E. (2007). Assessing model fidelity in two family group decision-making programs: Is this child welfare intervention being implemented as intended? *Journal of Social Service Research, 34*(2), 55-71. doi: Doi 10.1300/J079v34n02_05

Blome, W. W., & Steib, S. (2008). An examination of oversight and review in the child welfare system: The many watch the few serve the many. *Journal of Public Child Welfare, 1*(3), 3-26.

Bloom, S. L. (2013). The sanctuary model. In J. D. Ford, Nader, K., Fletcher, K. E. (Ed.), *Treating Complex Traumatic Stress Disorders in Children and Adolescents: Scientific Foundations and Therapeutic Models* (pp. 277). New York, NY: The Guilford Press.

Bloom, S. L., & Farragher, B. J. (2011). *Destroying sanctuary : the crisis in human service delivery systems*. Oxford ; New York: Oxford University Press.

Bolman, L. G., & Deal, T. E. (2008). *Reframing organizations : artistry, choice, and leadership* (4th ed.). San Francisco: Jossey-Bass.

Brown, S. A., Massey, A. P., Montoya-Weiss, M. M., & Burkman, J. R. (2002). Do I really have to? User acceptance of mandated technology. *European Journal of Information Systems, 11*(4), 283-295.

Brown, T., & Ginsberg, L. (2008). PREP for social service agency leadership. *LH Ginsberg (Ed.). Management and leadership in social work practice and education*, 32-52.

Buller, P. F., Saxberg, B. O., & Smith, H. L. (1985). Institutionalization of planned organizational change: A model and review of the literature. In L. D. Goodstein & J. W. Pfeiffer (Eds.), *The 1985 Annual: Developing Human Resources*. Tucson, AZ: University Associates.

Burns, J. M. (1978). *Leadership* (1st ed.). New York: Harper & Row.

Burns, J. M. (2003). *Transforming leadership : a new pursuit of happiness*. New York: Atlantic Monthly Press.

Chenot, D. (2007). *Organizational Culture and Retention in Public Child Welfare Services Organizations.* (Doctor of Philosophy in Social Welfare), Case Western Reserve University Cleveland, OH.

Coch, L., & French, R. P. (1948). Overcoming resistance to change *Human Relations, 1*, 512-534. doi: 10.1177/001872674800100408

Cohen, B. J. (2005). Reforming the child welfare system: Competing paradigms of change. *Children and Youth Services Review, 27*(6), 653-666. doi: DOI 10.1016/j.childyouth.2004.11.016

Cohen, J. (1960). A coefficient of agreement for nominal scales. *Educational and psychological measurement, 20*(1), 37-46.

Cooke, R. A., & Szumal, J. L. (2000). Using the organizational culture inventory to understand the operating cultures of organizations. , 4, 1032-1045. In N. M. Ashkanasy, C. P. M. Wilderom & M. F. Peterson (Eds.), Handbook of organizational culture and climate (pp. 1032-1045). Thousand Oaks, Ca.

Corbin, J., & Strauss, A. (2008). *Basics of qualitative research: Techniques and procedures for developing grounded theory*: Sage.

Council on Social Work Education. (2014). Directory of Accredited Programs.   Retrieved October 10, 2014

Crea, T. M., Usher, C. L., & Wildfire, J. B. (2009). Implementation fidelity of Team Decisionmaking. *Children and Youth Services Review, 31*(1), 119-124. doi: DOI 10.1016/j.childyouth.2008.06.005

Cunningham, C. E., Woodward, C. A., Shannon, H. S., MacIntosh, J., Lendrum, B., Rosenbloom, D., & Brown, J. (2002). Readiness for organizational change: A longitudinal study of workplace, psychological and behavioural correlates. *Journal of Occupational and Organizational Psychology, 75*, 377-392. doi: Doi 10.1348/096317902321119637

DeCuir-Gunby, J. T., Marshall, P. L., & McCulloch, A. W. (2011). Developing and using a codebook for the analysis of interview data: An example from a professional development research project. *Field Methods, 23*(2), 136-155.

DePanfilis, D. (2014). Building, implementing, and sustaining effective child welfare practice: An introduction. *Journal of Public Child Welfare, 8*(4), 329-332.

DePanfilis, D., & Zlotnik, J. L. (2008). Retention of front-line staff in child welfare: A systematic review of research. *Children and Youth Services Review, 30*(9), 995-1008. doi: DOI 10.1016/j.childyouth.2007.12.017

DePanfilis, D., & Zuravin, S. J. (1999). Epidemiology of child maltreatment recurrences. *Social Service Review, 73*(2), 218-239. doi: Doi 10.1086/514415

Dickinson, N. S., & Perry, R. E. (2002). Factors influencing the retention of specially educated public child welfare workers. *J Health Soc Policy, 15*(3-4), 89-103. doi: 10.1300/J045v15n03_07

Dominick, J., & Wimmer, R. (2003). Training the next generation of media researchers. *Mass Communication and Society, 6*(1), 3-9.

Dymnicki, a., Wandersman, A., Osher, D., Grigorescu, V., & Huang, L. (2014). *Willing, able, ready: Basics and policy implications of readiness as key components for implementation of evidence-based interventions* Washington, DC.

Esaki, N., Benamati, J., Yanosy, S., Middleton, J. S., Hopson, L. M., Hummer, V. L., & Bloom, S. L. (2013). The Sanctuary Model: Theoretical Framework. *Families in Society: The Journal of Contemporary Social Services, 94*(2), 87-95.

Ezell, M., Chernesky, R. H., & Healy, L. M. (2004). The learning climate for administration students. *Administration in Social Work, 28*(1), 57-76.

Fairbank, J. A., Putnam, F. W., & Harris, W. W. (2007). The prevalence and impact of child tramatic stress. In M. J. Friedman, T. M. Keane & P. A. Resick (Eds.), *Handbook of PTSD : science and practice* (pp. 229-251). New York: Guilford Press.

Fereday, J., & Muir-Cochrane, E. (2008). Demonstrating rigor using thematic analysis: A hybrid approach of inductive and deductive coding and theme development. *International journal of qualitative methods, 5*(1), 80-92.

Festinger, T., & Baker, A. (2010). Prevalence of recalled childhood emotional abuse among child welfare staff and related well-being factors. *Children and Youth Services Review, 32*(4), 520-526. doi: DOI 10.1016/j.childyouth.2009.11.004

Fixsen, D. L., Naoom, S. F., Blase, K. A., Friedman, R. M., & Wallace, F. (2005). Implementation research: A synthesis of the literature. Tampa, FL: University of South Florida.

Fleming, N. S., Culler, S. D., McCorkle, R., Becker, E. R., & Ballard, D. J. (2011). The financial and nonfinancial costs of implementing electronic health records in primary care practices. *Health Aff (Millwood), 30*(3), 481-489. doi: 10.1377/hlthaff.2010.0768

Fonteyn, M. E., Vettese, M., Lancaster, D. R., & Bauer-Wu, S. (2008). Developing a codebook to guide content analysis of expressive writing transcripts. *Applied Nursing Research, 21*(3), 165-168.

Ford, J. D., & Ford, L. W. (1995). The Role of Conversations in Producing Intentional Change in Organizations. *Academy of Management Review, 20*(3), 541-570. doi: Doi 10.2307/258787

Freundlich, M., Avery, R. J., & Padgett, D. (2007). Care or scare: The safety of youth in congregate care in New York City. *Child Abuse & Neglect, 31*(2), 173-186. doi: DOI 10.1016/j.chiabu.2006.09.002

Gibbs, L., & Gambrill, E. (2002). Evidence-based practice: Counterarguments to objections (vol 12, pg 457, 2002). *Research on Social Work Practice, 12*(5), 706-706.

Giddens, A. (1984). *The constitution of society : outline of the theory of structuration*. Cambridge Cambridgeshire: Polity Press.

Glisson, C. (2002). The organizational context of children's mental health services. *Clinical Child and Family Psychology Review, 5*(4), 233-253. doi: Doi 10.1023/A:1020972906177

Glisson, C., & Green, P. (2011). Organizational climate, services, and outcomes in child welfare systems. *Child Abuse & Neglect, 35*(8), 582-591. doi: DOI 10.1016/j.chiabu.2011.04.009

Glisson, C., & James, L. R. (2002). The cross-level effects of culture and climate in human service teams. *Journal of Organizational Behavior, 23*(6), 767-794. doi: Doi 10.1002/Job.162

Graduate Management Adminssions Council. (2014). Alumni Perspectives Survey. Reston, VA: Graduate Management Admissions Council

Green, J., & Thorogood, N. (2009). *Qualitative methods for health research* (2nd ed.). Los Angeles: SAGE.

Hardina, D. (2011). Are Social Service Managers Encouraging Consumer Participation in Decision Making in Organizations? *Administration in Social Work, 35*(2), 117-137. doi: Pii 935974370. doi: Doi 10.1080/03643107.2011.557583

Hardina, D., & Montana, S. (2011). Empowering Staff and Clients: Comparing Preferences for Management Models by the Professional Degrees Held by Organization Administrators. *Social Work, 56*(3), 247-257.

Hasenfeld, Y., & Garrow, E. E. (2012). Nonprofit Human-Service Organizations, Social Rights, and Advocacy in a Neoliberal Welfare State. *Social Service Review, 86*(2), 295-322. doi: Doi 10.1086/666391

Herold, D. M., Fedor, D. B., Caldwell, S., & Liu, Y. (2008). The effects of transformational and change leadership on employees' commitment to a change: A multilevel study. *Journal of Applied Psychology, 93*(2), 346-357. doi: Doi 10.1037/0021-9010.93.2.346

Herscovitch, L., & Meyer, J. P. (2002). Commitment to organizational change: Extension of a three-component model. *Journal of Applied Psychology, 87*(3), 474-487. doi: Doi 10.1037//0021-9010.87.3.474

Hickey, G., & Kipping, C. (1996). Issues in research: A multi-stage approach to the coding of data from open-ended questions. *Nurse Researcher, 4*, 81-91.

Holsti, O. R. (1969). *Content analysis for the social sciences and humanities*. Reading, Mass.,: Addison-Wesley Pub. Co.

Holt, D. T., Armenakis, A. A., Harris, S. G., & Feild, H. S. (2007). Toward a comprehensive definition of readiness for change: A review of research and instrumentation In W. A. Pasmore & R. A. Woodman (Eds.), Research in Organizational Change and Development (Vol. 16, pp. 289-336): Emerald Group Publishing Limited. doi: 10.1016/S0897-3016(06)16009-7

Holt, D. T., & Vardaman, J. M. (2013). Toward a comprehensive understanding of readiness for change: The case for expanded conceptualization *Journal of Change Management, 13*(1), 9-18. doi: 10.1080/14697017.2013.768426

Hsieh, H. F., & Shannon, S. E. (2005). Three approaches to qualitative content analysis. *Qualitative Health Research, 15*(9), 1277-1288. doi: Doi 10.1177/1049732305276687

Kaid, L. L., & Wadsworth, A. J. (1989). Content analysis. *Measurement of communication behavior*, 197-217.

Kamerman, S. B., & Kahn, A. J. (1993). If Cps Is Driving Child-Welfare - Where Do We Go from Here. *Public Welfare, 51*(1), 41-&.

Kamerman, S. B., & Kahn, A. J. (2001). Child and family policies in the United States at the opening of the twenty-first century. *Social Policy & Administration, 35*(1), 69-84. doi: Doi 10.1111/1467-9515.00220

Kluger, M. P., Alexander, G. E., & Curtis, P. A. (2000). *What works in child welfare*: Child Welfare League of America.

Kolbe, R. H., & Burnett, M. S. (1991). Content-analysis research: an examination of applications with directives for improving research reliability and objectivity. *Journal of consumer research*, 243-250.

Kotter, J. P. (1995). Leading Change - Why Transformation Efforts Fail. *Harvard Business Review, 73*(2), 59-67.

Kotter, J. P. (1996). *Leading change*: Harvard Business Press.

Kotter, J. P. (2007). Leading change - Why transformation efforts fail. *Harvard Business Review, 85*(1), 96-+.

Kotter, J. P., & Schlesinger, L. A. (2008). Choosing strategies for change. *Harvard Business Review, 86*(7-8), 130-+.

Kottner, J., Audigé, L., Brorson, S., Donner, A., Gajewski, B. J., Hróbjartsson, A., . . . Streiner, D. L. (2011). Guidelines for reporting reliability and agreement studies (GRRAS) were proposed. *International Journal of Nursing Studies, 48*(6), 661-671.

Krippendorff, K. (2004a). *Content analysis: an introduction to its methodology* (2nd ed.). Thousand Oaks, Calif.: Sage.

Krippendorff, K. (2004b). Reliability in content analysis - Some common misconceptions and recommendations. *Human Communication Research, 30*(3), 411-433. doi: Doi 10.1093/Hcr/30.3.411

Krippendorff, K. (2013). *Content analysis : an introduction to its methodology* (3rd ed.). Los Angeles ; London: SAGE.

Larkin, T. J., & Larkin, S. (1994). *Communicating change : how to win employee support for new business directions*. New York: McGraw-Hill.

Lee, E., & Samples, C. (2008). *Evolving roles of public and private agencies in privatized child welfare systems* (Topical Paper #3). Washington, DC: United States Department of Health and Human Services Office of the Assistant of Planning and Evaluation

Leedy, P. D., & Ormrod, J. E. (2010). *Practical research: Planning and design* (9 ed.). Upper Saddle River, NJ: Pearson Education, Inc.

Leroy, H., Palanski, M. E., & Simons, T. (2012). Authentic leadership and behavioral integrity as drivers of follower commitment and performance. *Journal of Business Ethics, 107*(3), 255-264.

Levesque, D. A., Prochaska, J. M., & Prochaska, J. O. (1999). Stages of change and integrated service delivery. *Consulting Psychology Journal: Practice and Research, 51*(4), 226.

Lewin, K. (1951). *Field theory in social science; selected theoretical papers* (1st ed.). New York,: Harper.

Lipsky, M. (2010). *Street-level bureaucracy : dilemmas of the individual in public services* (30th anniversary expanded ed.). New York: Russell Sage Foundation.

Lombard, M., Snyder-Duch, J., & Bracken, C. C. (2002). Content analysis in mass communication: Assessment and reporting of intercoder reliability. *Human Communication Research, 28*(4), 587-604. doi: Doi 10.1093/Hcr/28.4.587

Macallair, D., & Males, M. (2004). A failure of good intentions: An analysis of juvenile justice reform in San Francisco during the 1990s. *Review of Policy Research, 21*(1), 63-78.

MacQueen, K. M., McLellan-Lemal, E., Bartholow, K., & Milstein, B. (2008). Team-based codebook development: structure, process, and agreement. *Handbook for team-based qualitative research*, 119-135.

MacQueen, K. M., McLellan, E., Kay, K., & Milstein, B. (1998). Codebook development for team-based qualitative analysis. *Cultural Anthropology Methods, 10*(2), 31-36.

Madill, A., Jordan, A., & Shirley, C. (2000). Objectivity and reliability in qualitative analysis: Realist, contextualist and radical constructionist epistemologies. *British journal of psychology, 91*(1), 1-20.

Marshall, C., & Rossman, G. B. (2010). *Designing qualitative research*: Sage.

Melnyk, B. (2007). The Evidence-Based Practice Mentor: A Promising Strategy for Implementing and Sustaining EBP in Healthcare Systems. *Worldviews on Evidence-Based Nursing, 4*(3), 123-125.

Melnyk, B., & Fineout-Overholt, E. (2001). Putting research into practice. *Reflections on Nursing Leadership/Sigma Theta Tau International, Honor Society of Nursing, 28*(2), 22-25, 45.

Michaelis, B., Stegmaier, R., & Sonntag, K. (2009). Affective commitment to change and innovation implementation behavior: The role of charismatic leadership and employees' trust in top management. *Journal of Change Management, 9*(4), 399-417.

Mildon, R., & Shlonsky, A. (2011). Bridge over troubled water: Using implementation science to facilitate effective services in child welfare. *Child Abuse & Neglect, 35*(9), 753-756.

Miles, M. B., & Huberman, A. M. (1994). *Qualitative data analysis: An expanded sourcebook*: Sage.

Neuendorf, K. A. (2002). *The content analysis guidebook*. Thousand Oaks, Calif.: Sage Publications.

Norman, A. J., & Keys, P. R. (1992). Organization-Development in Public Social-Services - the Irresistible Force Meets the Immovable Object. *Administration in Social Work, 16*(3-4), 147-165.

O'Connor, M. K., Netting, F. E., & Netting, F. E. (2009). *Organization practice : a guide to understanding human services* (2nd ed.). Hoboken, N.J.: John Wiley & Sons.

Oreg, S., & Berson, Y. (2011). Leadership and Employees' Reactions to Change: The Role of Leaders' Personal Attributes and Transformational Leadership Style. *Personnel Psychology, 64*(3), 627-659. doi: DOI 10.1111/j.1744-6570.2011.01221.x

Oswald, S. L., Mossholder, K. W., & Harris, S. G. (1994). Vision salience and strategic involvement: implications for psychological attachment to organization and job. *Strategic Management Journal, 15*(6), 477-489.

Prochaska, J. M. (2000). A transtheoretical model for assessing organizational change: A study of family service agencies' movement to time-limited therapy. *Families in Society: The Journal of Contemporary Social Services, 81*(1), 76-84.

Prochaska, J. M., Prochaska, J. O., & Levesque, D. A. (2001). A transtheoretical approach to changing organizations. *Adm Policy Ment Health, 28*(4), 247-261.

Prochaska, J. O. (2008). Decision Making in the Transtheoretical Model of Behavior Change. *Medical Decision Making, 28*(6), 845-849.

Prochaska, J. O., & Diclemente, C. C. (1983). Stages and Processes of Self-Change of Smoking - toward an Integrative Model of Change. *Journal of Consulting and Clinical Psychology, 51*(3), 390-395. doi: Doi 10.1037/0022-006x.51.3.390

Prochaska, J. O., Diclemente, C. C., & Norcross, J. C. (1992). In Search of How People Change - Applications to Addictive Behaviors. *American Psychologist, 47*(9), 1102-1114. doi: Doi 10.1037/0003-066x.47.9.1102

Proctor, E., Silmere, H., Raghavan, R., Hovmand, P., Aarons, G., Bunger, A., . . . Hensley, M. (2011). Outcomes for implementation research: conceptual distinctions, measurement challenges, and research agenda. *Adm Policy Ment Health, 38*(2), 65-76. doi: 10.1007/s10488-010-0319-7

Rafferty, A. E., Jimmieson, N. L., & Armenakis, A. A. (2013). Change Readiness: A Multilevel Review. *Journal of Management, 39*(1), 110-135. doi: Doi 10.1177/0149206312457417

Rice, K. (2011). *Change Over Time in Implementation Fidelity of a Child Welfare Practice Model.* (3490300 Ph.D.), University of Maryland, Baltimore, United States -- Maryland. Retrieved from https://libproxy.cc.stonybrook.edu/login?url=http://search.proquest.com/docview/916751896?accountid=14172 ProQuest Dissertations & Theses Full Text database.

Rosenthal, M. G. (2000). Public or private children's services? Privatization in retrospect. *Social Service Review, 74*(2), 281-305. doi: Doi 10.1086/514480

Rothman, J. (2012). Education for macro intervention: A survey of problems and prospects. *Lynwood, IL: Association for Community Organization and Social Administration*.

Schein, E. H. (1996). Kurt Lewin's change theory in the field and in the classroom: Notes toward a model of managed learning. *Systems Practice, 9*(1), 27-47. doi: Doi 10.1007/Bf02173417

Schein, E. H. (2010). *Organizational culture and leadership* (4th ed.). San Francisco: Jossey-Bass.

Schorr, A. L. (2000). The bleak prospect for public child welfare. *Social Service Review, 74*(1), 124-136. doi: Doi 10.1086/514460

Simons, T. (2002). Behavioral integrity: The perceived alignment between managers' words and deeds as a research focus. *Organization Science, 13*(1), 18-35.

Stevens, G. W. (2013). Toward a Process-Based Approach of Conceptualing Change Readiness *Journal of Applied Behavioral Science*, 1-28. doi: 10.177/0021886313475479

Strolin-Goltzman, J. (2008). Should I Stay or Should I Go? A Comparison Study of Intention to Leave Among Public Child Welfare Systems with High and Low Turnover Rates. *Child Welfare, 87*(4), 125-143.

Thaden, E., & Robinson, J. (2010). Staff Narratives: Promising to Change 'Welfare as We Know it'. *Qualitative Social Work*, 1473325010368193.

Tierney, T. (2006). The leadership deficit. *Stanford Social Innovation Review, 4*(2), 26-35.

Tinsley, H. E. A., & Weiss, D. J. (1975). Interrater reliability and agreement of subjective judgments. *Journal of Counseling Psychology, 22*(4), 358-376. doi: Doi 10.1037/H0076640

Tinsley, H. E. A., & Weiss, D. J. (2000). Interrater reliability and agreement of subjective judgements In H. E. A. Tinsley & S. D. Brown (Eds.), *Handbook of applied multivariate statistics and mathematical modeling* (pp. 95-124). San Diego, CA: Academic Press.

Van de Ven, A. H., & Poole, M. S. (1995). Explaining Development and Change in Organizations. *Academy of Management Review, 20*(3), 510-540. doi: Doi 10.2307/258786

Watson, L. D., & Hoefer, R. (2014). Social Work Values in Human Services Administration: Implications for Social Work Education. *Journal of Social Work Education, 50*(4), 623-629.

Webb, N. B. (2006). *Working with traumatized youth in child welfare*. New York: Guilford Press.

Weber, M., Henderson, A. M., & Quiet Valley , T. (1947). *The theory of social and economic organization* (1st American ed.). New York,: Oxford University Press.

Weiner, B. J. (2009). A theory of organizational readiness for change. *Implementation Science, 4*. doi: Artn 67 Doi 10.1186/1748-5908-4-67

Weiner, B. J., Amick, H., & Lee, S. Y. D. (2008). Conceptualization and measurement of organizational readiness for change - A review of the literature in health services research and other fields. *Medical Care Research and Review, 65*(4), 379-436. doi: Doi 10.1177/1077558708317802

Wells, K. (2006). Child protection and welfare reform. *Child Abuse & Neglect, 30*(11), 1175-1179. doi: DOI 10.1016/j.chiabu.2006.09.001

Wells, K., & Guo, S. Y. (2006). Welfare reform and child welfare outcomes: A multiple-cohort study. *Children and Youth Services Review, 28*(8), 941-960. doi: DOI 10.1016/j.childyouth.2005.10.009

Wensel, T. M. (2006). Mentor or preceptor: what is the difference? *American journal of health-system pharmacy: AJHP: official journal of the American Society of Health-System Pharmacists, 63*(17), 1597.

Whelan-Berry, K. S., & Somerville, K. A. (2010). Linking Change Drivers and the Organizational Change Process: A Review and Synthesis. *Journal of Change Management, 10*(2), 175-193.

Whitaker, T., Reich, S., Reid, L., Williams, M., & Woodside, C. (2004). *If you're right for the job, it's the best job in the world: The National Association of Social Workers' child welfare specialty practice section members describe their experiences in child welfare*. National Association of Social Workers Washing, DC.

Wood, J. M. (2007). Understanding and Computing Cohen's Kappa: A Tutorial. *WebPsychEmpiricist. Web Journal at http://wpe. info/*.

Wuenschel, P. C. (2006). The diminishing role of social work administrators in social service agencies: Issues for consideration. *Administration in Social Work, 30*(4), 5-18.

Yardley, L. (2008). Demonstrating validity in qualitative psychology. *Qualitative psychology: A practical guide to research methods, 2*, 235-251.

Yin, R. K. (2003). *Case study research : design and methods* (3rd ed.). Thousand Oaks, Calif.: Sage Publications.

Appendix A: Data Collection

	Nazareth	Patterson Home	Kindertowne	Quiet Valley	Mountain View
Training Documents	5	8	9	2	4
Meeting Minutes	49	51	32	43	32
Consultant Notes	24	9	27	2	26
Agency Assessments	3	2	1	1	2
CWTP Reports	7	4	4	4	2
Total	88	76	73	54	66

Appendix C: Consultant Contact Form

Exit this survey

1. About this Consult

Thank you for completing this Sanctuary Model Consultant Survey!
The purpose of this survey is to document agency/facility/ CST Sanctuary Model implementation consultations. You are asked to complete the form within one week from the date of the phone or on-site contact. After completion, this form will be distributed to you, to Sarah Yanosy, to Joe Benamati (DJJOY sites), to the site (agency/facility/CST) and to OCFS via email!

Update May 2009:
* This survey has been updated to capture monthly Consortium Call contacts. If more than one consultant is on the call, ONLY the call consultant/facilitator should complete this form.
* This form now REQUIRES that consultants report the exact number and first and last names of participants involved in all contacts.

* 1. Consultant Name

[▼]

Other (please specify)

[   ]

* 2. Name of Agency/Facility/CST
(Note Consortium Call Option)

[▼]

* 3. About this Contact

	MM	DD	YYYY
Date of Agency/Facility/CST Contact	[ ] /	[ ] /	[ ]

* 4. Please indicate the type of contact with the agency/facility/CST.

Monthly Consortium Call * Complete questions 1 - 8 only

Phone

On-Site

Pre-training On-site - Complete Questions 1 - 8 only

109

* 5. Length of contact (round to hour if over 30 minutes)

[▼]

* 6. New OCFS Specifications REQUIRE the EXACT number of agency/facility/CST participants in this contact.

[   ]

* 7. New OCFS Contract Specifications REQUIRE the FIRST AND LAST NAMES of ALL participants in this contact.

[   ]

* 8. List the TOPICS of discussions during this contact.

[   ]

[Next]

Appendix D: Code Book

Name	Label	Criterion of Analysis	Examples of supportive statements	Examples of contradictory statements
Discrepancy Before change can occur, change leaders must establish a sense of urgency or 'buy-in' (discrepancy)	**D1**	**The agency recognizes an organizational issue that is in urgent need for change**	*Across our multiple program sites, we experience several daily incidents of what the Sanctuary Model would define as physical violence…*	
	D2	**The reason(s) for the proposed change is clear**	*understand the rationale for the Sanctuary project and de-bunk myths and rumors floating around about, and identify some of the positive hoped for outcomes*	*When asked to indicate the least valuable aspect of the trainer more that 10% (n=27) reported "this is same as TCI"*
	D3	**Members of administration reflect buy-in for the proposed change**	*Dedication is very high across core and steering teams*	*Questions about whether some in leadership and care team are supportive and committed to process. Steering committee members question each other's commitment heartily*
	D4	**Members recognizes the clear and present danger of staying the same**	*Up until now core team training have not dealt with the big issues…see conflict as a scary concept*	
Appropriateness Does the change fit the problem the organization is attempting to solve and is it manageable within the environment?	**A1**	**The change is appropriate for organization's structure and formal systems**		*Union constraints seems to hinder implementation of change " how do we create a culture where people feel comfortable to ask questions, step in to help a co-worker who's obviously in need of a break, or be willing to say something about what they see or hear"*
	A2	**The proposed change addresses the problem the organization is attempting to solve**		*The State agency does not see Sanctuary as a clinical treatment intervention and thus had made additional demands on the agency for adherence to other clinical foci.*
	A3	**The change is manageable**		*It's difficult to take it from the Core*

		within the environment (size, financial, personnel, resources…)		*team and get it to the birth homes. Training foster parents and getting it into the foster homes is also difficult. We need to make Sanctuary come alive on a day-to-day basis recognizing that it is a not strong enough model currently. Need a smaller group to design a model*
	A4	The change addresses the needs of the clients served by the agency		
Efficacy – a concept from social learning theory and involves "people's judgment of their capabilities to organize and execute courses of action required to attain designated types of performances"(Bandura, 1986, p. 391).	E1	Resources are made available to implement change (financial, personnel, time…)	*New position Director of Programs and Services was created to assist with implementation. Sanctuary Leadership team established*	*Make it cost efficient. Do not waste human resources by over training. Train people in what they need to know to do and manage their jobs*
	E2	Members demonstrate trust in the leaders of the change	*In general, staff members respond positively to Sanctuary training and indicated that trainers knowledge of the subject is one of the most valuable aspect of the training*	*There appears to be distress related to the changed mandated reporting requirements, making staff uneasy and somewhat unsafe amongst each other*
	E3	Members reflect confidence in their ability to learn new skills	*When asked what was the most valuable aspect of the training "learning a new way of thinking" was one of the top 10 answers*	*Staff don't fully understand what Sanctuary Is and I can't explain it.*
	E4	Members demonstrate the capacity to use acquired knowledge and skills	*65% (11) of the 17 participants that attended the Core Team Retreat reported that they felt confident moving forward with the implementation of the Sanctuary Model*	*Staff left 5 day training without a solid grasp of model and no clear method of implementation. More time to cover training [with staff]… concerned with the quality of the training material.*
Principal Support Involves the efforts of proactive	P1	A committed change messenger has been identified within the agency	*Conversation focused on the core team as change agents to lead the culture change*	
	P2	Transformative leadership style	*Staff buy-in is a challenge. Admin is*	

'champions for change' within organizations whose role it is to provide information and convince organizational members that leaders are committed to the change.		**is clearly reflected by administrators**	*concerned about wanting to appear to overly top down but wants to notify staff that Sanctuary is not a recommendation but a course of action decided upon within the agency*	
	P3	**Change leaders demonstrate** *Behavioral Integrity*. **Leaders' behaviors are consistent with their words**	*Leadership is committed to the process. There is almost 100% attendance by the entire Steering Committee in TA calls, site visits and retreat days*	*The role of power within the organization was discussed including the history of lack of fidelity, when things are not going well we fall back into the old ways of doing this,*
	P4	**Respected front line staff demonstrate actions that support change**	*[A staff member], without prompting, brought to his staff meeting his experience in participating in the various workshop and challenged his colleagues to make every effort to improve their intervention skills with the client they work with.*	
Valence Armenakis et al. (1999) succinctly define valence as "What's in it for me?"	V1	**Members demonstrate their belief that the proposed change will benefit them (professionally, financially, personally…)**	*There was a sense of group loyalty. Despite the problem of staff turnover, this group represented people who have made a career commitment to [the agency]*	*[A committee member] spoke about the email he had asked for [during] the previous training with regards to [the interest in] implementing and starting training of the Sanctuary modules. He informed everyone that to date, he has not gotten any emails*
	V2	**Members reflect the belief that the change is beneficial for clients served**	*Community and residential implementation of Sanctuary tools are very different, but concepts are the same… Must think outside the box to find creative ways to make it fit for the family*	*Staff is concerned that Sanctuary is too soft*
	V3	**Members demonstrate their belief that the organization will be positively affected by the**	*Culture is changing, but there is still more work to be done. Training have played an important role in this*	*The steering committee expressed some frustration with low attendance at the last Core Committee meeting.*

		change		*Also there were some issues related to the timeless or lateness of some participants*
	V4	**Members' actively take part in activities that support implementation**	*The Core Team is taking quite a bit of initiative; especially the Core Team training committee… the training committee piloted the intro to the Core team. It was excellent*	*Some conflict exists among the team that some members participate fully but others are not fully involved or invested*
Vision In general, vision is a roadmap to lead organizations from the present and what it might be in the future	V1a	**Members articulate idealized future goals**	*[The agency] is using several strategies to try to implement change including an initiative called "One Step Closer" The team has established achievable goals for the year*	
	V2a	**There is evidence of a clear understanding of what needs to be achieved**	*Focus of Core team will be to integrate the 7 commitments into learning and practice, demonstrating the Sanctuary in daily practice*	*Core Team does not have a clear working agreements/ expectations*
	V3a	**Members are involved in goal focused activities and planning committees**	*It was decided that the core team break into groups to define/ describe what it will be like after successful implementation*	
	V4a	**Leaders use inspirational imagery and language that reflect future goals**	*How are we as a group going to lead the agency in the next year not only to move us along but to enable us to accomplish what is need to be certified as a Sanctuary agency*	
Mentorship The expert advice of experience leaders in the field	M1	**Members and administrators have a reciprocal, as opposed to one-way relationship with a person that has extensive experience**	*SDL [Sanctuary Institute] will function as liaison. Encourage the workgroups to form their own internal leaders*	*"Struggling to move forward" "At some point, there must be a reality check - like it or not, the Sanctuary Model is just part of your job. It's how we do this at [this agency] " (quote from the consultant)*
	M2	**The organization is engaged in a learning partnership with other organizations**	*[The agency] has focused on communication and other area before beginning staff training. They are interested in learning what worked well*	

			and what did not for other agencies as they design the training plan	
	M3	**There is evidence of regular consistent interactions with experts in the implementation process**	*Parallel process recognition needed, trauma theory understood, but staff need training, organizational stress recognized, turnover on core team experienced… A more solid plan for the future needs to be developed which should include quality assurance measure (Quote from consultant)*	*The Sanctuary Consultant is completely absent. It appears that [the agency] has been given the policies and procedures manual and told to follow it.*
	M4	**Members report a close relationship and respect for an external expert**	*she was really impressed by the readiness of the staff. It was evident that the groundwork had been laid; staff had questions, they participated, generated ideas. We are doing good work here and the challenge is to sustain it. There is a sense of hugely shared commitment. She stated that she is proud that we are doing this work with them.*	*[The Steering Team] are taking steps to request an alternative consultant*

Appendix D: Coding Rationale

Statement	Coder B	Coder C	Coder D	Coder A	Rationale
5. Also need to help staff understand how their own life has affected their reaction/ view. In many ways there is parallel process going on between staff behaviors and client behaviors	V1	V4	P2	D2	Youth and staff often mimic each other's negative behaviors. The Sanctuary model views this as a parallel process. The statement reflects that the agency recognized this behavior as one of the reasons they needed implement change. **D2- the reasons for change are clear**
13. We need to look at what outcomes we wish to have from implementing Sanctuary at Agency P	(V2a)	(D1)	V2a	V1a	This statement demonstrates that members of agency P were beginning to **articulate idealized future goals - V1a**
15. When asked what participants found to be the most valuable aspect of the responses included: Made me be reflective in what we can could do better, The idea that we are committed to change to better help everyone in this organization, Love the strength base, great model	A4	A2	V3	V3	Staff members were asked what they felt was most valuable. The response reflects **their belief that the organization will be positively affected by the change – V3**
20. Agency H is being presented with several models for implementation, TCI, Sanctuary, ASAP Assault Staff Action Plan) and IBSA (Individual Behavioral Support Assessment). They seem to be dedicated to organizational change and willing to consider many interventions to make improvements. HCS is also devising a plan to measure the commitment level of Core Team members	V2a	E3	D3	D4	Historically, staff members at Patterson Home have suffered from acts of violence perpetrated by youth served in residential programs. This violence persisted during the implementation of the Sanctuary model. Several interventions were adopted in an effort to respond to the problem because **members recognized the clear and present danger of staying the same – D4**
23. Employees now use the reenactment triangle as part of their deconstruction [process for restraints]	E4	A4	E4	E4	The concept of the reenactment triangle is taught in Sanctuary training. This statement **demonstrates staff members' capacity to use acquired knowledge and skills – E4**
28. Not sure if module information will translate to real life situations.	(E4)	(V1)	(A2)	(A2)	The statement reflects staff members doubt that the **proposed change will address the** *real life* **problem the organization is attempting to solve - (A2)**

Appendix E: Calculation of Interrater Agreement Cohen's *Kappa*

Coder A * Coder B

Symmetric Measures

		Value	Asymp. Std. Error[a]	Approx. T[b]	Approx. Sig.
Measure of Agreement	Kappa	.790	.077	13.131	.000
N of Valid Cases		32			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

Coder A * Coder C

Symmetric Measures

		Value	Asymp. Std. Error[a]	Approx. T[b]	Approx. Sig.
Measure of Agreement	Kappa	.824	.072	13.348	.000
N of Valid Cases		32			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.

Coder A * Coder D

Symmetric Measures

		Value	Asymp. Std. Error[a]	Approx. T[b]	Approx. Sig.
Measure of Agreement	Kappa	.514	.095	9.011	.000
N of Valid Cases		32			

a. Not assuming the null hypothesis.

b. Using the asymptotic standard error assuming the null hypothesis.