

# What are the essential practices of middle management that will increase their capacity to effectively lead complex change?

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## Table of Contents

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<i>Key Messages</i> .....	2
<i>Executive Summary</i> .....	3
<b>1 Issue</b> .....	5
<b>2 Context</b> .....	5
<b>2.1 Representation of the Role Middle Manager</b> .....	7
<b>3 Literature Review Question</b> .....	7
<b>4 Literature Search</b> .....	8
<b>4.1 Relevance Assessment</b> .....	8
<b>4.2 Results of the Search</b> .....	8
<b>5 Critical Appraisal</b> .....	9
<i>Description of Included Studies</i> .....	9
<b>6 Synthesis of Findings</b> .....	11
<b>6.1 To effectively manage change, middle managers fully understand the individual and organizational context.</b> .....	11
<b>6.2 To effectively manage change middle managers draw on three essential practices: Engaging in Dialogue, Reframing Work, and Clarifying Roles.</b> .....	12
<b>6.3 To effectively manage change middle managers demonstrate both task and person oriented behaviours.</b> .....	13
<b>7 Applicability &amp; Transferability</b> .....	15
Political Acceptability.....	15
Uncertainty about Another Change Management Program .....	16
Cost and Methodology of Training and Development .....	17
Organizational Expertise to Deliver Training .....	17
<b>8 Suggested Next Steps for the Manager Education and Research:</b> .....	18
<i>References</i> .....	19
<i>Appendices</i> .....	20
<i>Appendix A: Final Conceptual Model of Review Findings</i> .....	21
<i>Appendix B: Search Strategy</i> .....	22
<i>Appendix C: Search Result</i> .....	28
<i>Appendix D: Data Extraction Tables</i> .....	29

## Key Messages

To effectively lead and manage change middle managers must

- Fully understand the individual and organizational context in which the change occurs. This includes individual employee histories and loyalties and the implicit and explicit rules, routines and assumptions that govern the organization.

Within the context of this knowledge, middle managers must employ three essential practices:

- **Engage in Dialogue:** Set up an intentional conversation to understand the needs and interests of employees, discuss concerns and reconcile differences.
- **Re-Frame Work:** Explain and reinforce key elements of the new work in a way that is consistent with organizational values and recognizes the needs of staff. This facilitates a shift in thinking about how work is accomplished.
- **Clarify Roles:** Explain how new roles reinforce organizational goals and advance the work of the organization, this includes defining the specifics of the way work is done and who does the work.

Middle managers must build skill to effectively use task and person behaviours, for example:

- Identify specific tasks and processes for new work to be successfully implemented (task behaviors)
- Ask thoughtful and probing questions that seek to understand staff needs and concerns (person behaviors)

## **Executive Summary**

### *Overview of the research question posed:*

This is a review to determine the essential practices required of middle management to increase their capacity to effectively lead and manage complex organizational change.

### *Context:*

Complex organizational changes are occurring at Peel Public Health. The focus on a new governing philosophy, 'The Public Health Way' in addition to the strategic priority to utilize research evidence in program and practice decisions has resulted in multiple, inter-related changes for staff. Supervisors and managers have identified their need to understand all of the changes in order to lead staff through this complex change. They also identify the need for guidance on the management of change. The findings of this review will provide the foundation for a management training and development program to support managers in their role as they lead and manage complex organizational change.

### *Methods:*

The grey literature and electronic databases were searched using limiters of English and published between 2006 and 2011. The search retrieved 24 articles relevant to our question. The literature selected for critical appraisal included one synthesis of two single studies and three single studies. Following critical appraisal, three articles of moderate quality were included in the review: one synthesis of qualitative studies, one qualitative study and one cross sectional study.

### *Synthesis of Key Findings*

In order to successfully manage change middle managers must have a solid understanding of the meaning and implications of the change. Then, managers use their underlying knowledge of organizational and individual context to engage in three essential practices: Engaging in Dialogue, Reframing Work and Clarifying Roles. Managers use these practices, together with their knowledge of the change, the organization and the individual to craft messages that are persuasive, consistent with organizational values and address the needs and concerns of employees.

Managers skillful at leading change have strong interpersonal skills and engage in dialogue with their staff (person-based behaviors). As well they develop structures and processes (task-based behaviors) to advance the work of the organization. Through deliberate conversations, middle managers explain the key elements of work within the context of the change and listen to the needs and interests of their staff in order to address their concerns. Both task and person behaviours are required for middle managers to successfully manage change for their teams.

### *Conclusion*

The key findings of this review provide the foundation for development of a management training and development program to build Peel Public Health's capacity to lead complex organizational change.

## **1 Issue**

Peel Public Health (PPH) is undergoing complex organizational change. This is a result of multiple strategic directions arising out of the organization's ten year strategic plan. Front line staff has revealed through focus groups that they need assistance from supervisors and managers to develop a coherent understanding of the rationale for and meaning of the many new processes and activities being enacted at PPH. Employees are prepared to adapt to the changes, but they need guidance, support and direction from their direct supervisors in order to do so. The 500 or so front line employees of PPH must embrace the changes in order for lasting organizational and cultural change to take effect.

Also, managers and supervisors surveyed after leadership training told us they needed help to effectively guide, mentor, support and direct staff. Further leadership development must focus on building the capacity of middle managers in this area of expertise. In order for new practices and ideas to become 'just the way we do things round here', the organization needs the full support and buy in of all of its employees. It is with this goal in mind that this review seeks to determine those practices that middle managers can implement to effectively lead complex change.

## **2 Context**

The complex changes at Peel Public Health stem from the recent 10 year strategic plan and its focus on a new governing philosophy, *The Public Health Way*. This public health philosophy seeks to utilize key principles of public health sciences, balance resources with competing needs and focus on the overall health of the population. In addition, priorities to

utilize research evidence in program and practice decisions and to embed all of this in a program planning and evaluation framework add to the complexity.

Middle managers have been identified through corporate employee engagement surveys and a recent social network analysis as highly influential within the organization. Employees refer to them in order to understand their work environment. In the fall of 2011, 80 managers and supervisors attended a two day 'Leadership Bootcamp' where they further explored some of the key ideas of *The Public Health Way*, developed further understanding of Evidence-Informed Decision Making (EIDM) principles and processes and were introduced to some basic principles of change management.

Despite the training and interactive sessions, managers and supervisors told us they still need help to understand and manage all of the changes. Feedback from focus groups conducted with front line staff by the Manager of Education and Research in spring 2011 revealed enthusiasm and some knowledge of EIDM and the *Public Health Way*, but nevertheless some staff still experienced confusion, frustration and apprehension. In particular, staff is concerned about the shift in thinking toward the *Public Health Way* and the impact of changing practices on their roles. Central to their expressed concerns was the desire to have their direct supervisor or manager act as a source of guidance and leadership during these changing times.

In order to address the concerns of Peel Public Health management and staff, and build organizational workforce capacity, a program is needed to support middle managers in their role. In particular, this program must be built on a solid understanding of the effective practices of middle managers to lead complex organizational change.

## 2.1 Representation of the Role Middle Manager

Figure 1 was designed to show the relationships between the new strategic directives, senior management, middle management and front line staff as changes are integrated into the work culture of Peel Public Health. This figure was validated by middle managers at Leadership Boot Camp.

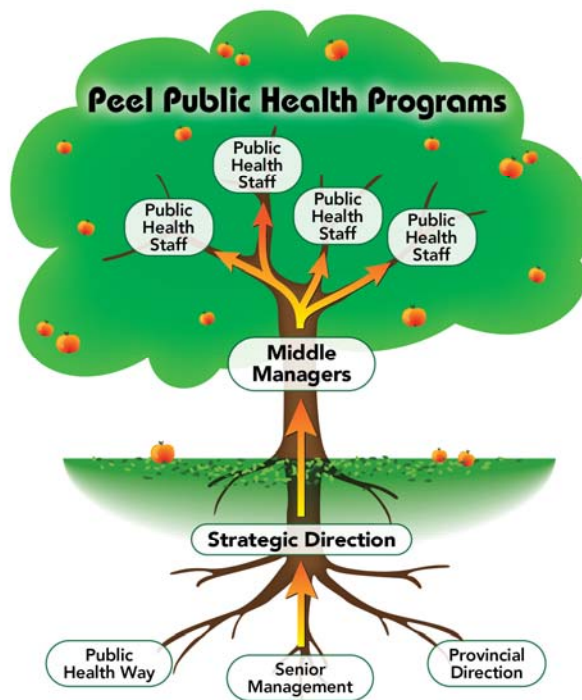


Figure 1

## 3 Literature Review Question

*“What are the essential practices required of middle management that will increase their capacity to effectively lead complex change”?*

P: middle management

I: essential skill development or practice

C: none

O: increase capacity to effectively lead complex change



## **4 Literature Search**

Searches of both the grey literature and electronic databases were conducted in October 2011. A search of grey literature included the websites from: three Ontario business schools, PROSCI (a well known change management resource), Canadian Health Services Research Foundation (CHSRF), Health Systems Evidence, FUSE UK, the National Health System (NHS) Institute of Innovation & Improvement and a hand search of the Leadership Quarterly Journal from 2010-2011. Electronic databases included ABI Inform, Health Business Elite, PsycINFO, CINAHL and Ovid Medline. The search was limited to studies in English and published between 2006 and 2011. Single studies were included as there was a lack of synthesized research in the business literature. See Appendix B for details of the search strategies.

### **4.1 Relevance Assessment**

Initial relevance assessment was conducted independently by two reviewers and discrepancies were discussed until consensus was reached. The papers were screened first by title and then by abstract. Papers were included in the review if they focused on the leadership qualities, competencies or behaviours of middle managers used to take action on or influence the adoption of organizational change in the public sector. Papers that focused on clinical/hospital or industry focused organizational change, innovation, editorials, expert opinions, toolkits, guidebooks or leadership frameworks were excluded.

### **4.2 Results of the Search**

After removal of duplicates twenty-four papers were relevant to the question, 14 single studies, four opinion articles, three narrative reviews, one synthesis of single studies, one book chapter and one toolkit. After full text review, only four met the final inclusion/exclusion

criteria: one synthesis of single studies and three single studies. See Appendix C for search results.

## **5 Critical Appraisal**

The McMaster Critical Review form for Qualitative studies, Version 2.0 was used to assess one single study (Ospina & Foldy, 2010) and one synthesis of single studies (Rouleau & Balogun, 2011). Retrieval of the primary studies cited in Rouleau & Balogun was required in order to complete the appraisal form. The Critical Appraisal Skills Program cohort tool was used to assess the two other single studies (Gilley, McMillan & Gilley, 2009, and Battilana, Gilmartin, Sengul, Pache & Alexander, 2010). This tool was selected after consultation with Health-evidence.ca staff. The cohort tool provided the best fit for a study design that followed a cohort in time to determine a change in behavior. Independent quality assessments were conducted by two reviewers and discrepancies discussed until consensus was reached. The two qualitative studies (Rouleau & Balogun, 2011 and Ospina & Foldy, 2010) and one cross sectional study (Battilana et al, 2010) were assessed as being of moderate quality. The second cross sectional study (Gilley, McMillan & Gilley, 2009) was assessed as weak and was excluded. In total, three studies of moderate quality were included in the review.

### **Description of Included Studies**

The study by Battilana et al (2010) entitled *Leadership Competencies for Implementing Planned Organizational Change*, is a single cross sectional study. The authors collected data from 89 middle and top managers, of multiple disciplines, working in 77 National Health Service (NHS) organizations. All of the managers had a change program they wanted to implement. Three months before attending a two week leadership program and prior to implementing their

projects, managers were asked to complete a leadership survey to determine their leadership style regarding task and person oriented behaviours. The survey was based on the Global Life Leadership Inventory (GLLI) and collected information about leaders' behaviours through self assessment and feedback from colleagues. A follow-up telephone survey was administered after 12 months of project implementation to determine which of three activities, identified in the literature as relevant to planned change implementation, the leaders emphasized. The activities were:

- communicating the need for change,
- mobilizing others to support the change
- evaluating change implementation

Survey items were structured on a 5 point Likert scale and the authors controlled for various confounding variables that could influence effectiveness in implementing change. Their change behaviours were then linked back to their leadership profiles.

The study by Ospina & Foldy entitled “*Building bridges from the margins: The work of leadership in social change organizations*” is a single qualitative study. Over 5 years the authors interviewed leaders, individually and in groups, from 40 non-profit organizations in the U.S. who were leadership recognition program awardees. To qualify for the leadership program, participants demonstrated the ability to be strategic, bring different groups together and achieve positive change using a systemic solution to address a social problem. Their narrative accounts were used to identify practices they used to build connections within organizations to advance their mission.

The study by Rouleau & Balogun *Middle Managers, strategic sense-making and discursive competence* is a synthesis of two qualitative single studies. The authors of this paper

analyzed narrative data from two previous studies, in both the public and private sectors, to explore middle manager's actions to make sense of organizational change for their employees. The data were compared to theory and existing research to develop a framework of activities managers engage in to make sense of organizational change for their staff. See Appendix D for the Data Extraction Table for all three studies.

## **6 Synthesis of Findings**

While the three included studies were different in methodology, participants and the context of the change, there were strong similarities in the findings. The studies pointed to similar behaviours embedded within an understanding of the change and its participants. To effectively manage change, middle managers must fully understand individual and organizational context, employ three essential practices and demonstrate facility in utilizing both task and person oriented behaviours. See Appendix A for a conceptual model of the synthesized findings.

### **6.1 *To effectively manage change, middle managers fully understand the individual and organizational context.***

Managers skilled in leading organizational change understand the organizational context in which they work. This includes the underlying rules, routines and assumptions that guide work within the organization. Managers also understand the context of individuals working within the organization. Individual context includes staff loyalties, interests and personal situations. Using this knowledge, middle managers craft messages that are persuasive, consistent with organizational values, and address the concerns of staff (4). Both strategic and relational

knowledge are embedded in a manager's organizational context knowledge (4). Both task and person-based skills are used.

## **6.2 To effectively manage change middle managers draw on three essential practices: Engaging in Dialogue, Reframing Work, and Clarifying Roles.**

Making sense of organizational change and its impact is an activity that occurs within an interpersonal relationship (4). It is important for middle managers to have strong interpersonal relationships with their staff in order to motivate them, understand their needs and expectations and mediate conflict (2, 3). In the context of interpersonal relationships, middle managers Engage in Dialogue. They take opportunities, formally and informally, to have planned and intentional reciprocal conversations with their staff. Through these conversations managers create meaningful and relevant messages about the reasons for change that are consistent with organizational goals. Furthermore, they seek to understand staff needs and interests and thereby reduce conflict (3, 4).

To create buy-in and a sense of shared interest in the change, managers Reframe Work. They explain and reinforce the purpose and key elements of the organization's work in ways that address the needs of their staff. Reframing Work creates a shift in thinking about how work is accomplished (3) and can be achieved through:

- integrating the mission and activities of the organization into existing work
- designing new processes that induce adoption of new work patterns
- clarifying and structuring new tasks around organizational goals
- setting performance standards and monitoring goal achievement

Managers Clarify Roles by explaining how new approaches to work reinforce organizational goals (3). They help staff to relate to the new work and the emerging organizational goals through effective interpersonal relationships where they:

- position themselves and staff as partners in change
- ask for staff input in new work processes
- provide staff with task specific direction
- listen to their concerns (4)

In this way, managers help to focus staff members on working toward a shared goal that will advance the work of the organization (3).

### ***6.3 To effectively manage change middle managers demonstrate both task and person oriented behaviours.***

Both task and person oriented behaviours are vital in the management of change. Knowledge of strategic frameworks and analytical skills are important skills for middle managers, as is the ability to relate and engage in a meaningful way with those they seek to influence (4).

Managers using person oriented behaviours have strong interpersonal skills that are demonstrated by:

- reading others feelings
- putting others at ease
- analyzing their own feelings before acting on them
- ensuring behaviour is appropriate to the situation
- engaging in self-reflection

- analyzing mistakes in order to learn from them

Strong interpersonal skills are used to promote collaboration, create supportive environments and monitor their own and others' emotions (2). Using these behaviours, managers share the vision for change, communicate the need and ideas behind change, and inspire team members to adopt change (2).

Managers using task oriented behaviours have strong organizational abilities that are demonstrated by:

- an ability to clarify and structure tasks around goals and objectives
- creating alignment between individual and organizational goals
- maintaining a strong focus on employee performance and goal achievement

The following table identifies particular ways in which managers fulfill the three essential practices according to their task/person orientation:

<b>Manager Practices</b>	<b>Task- based Manager Behaviour</b>	<b>Person-based Manager Behaviour</b>
<p><b>Engaging in Dialogue</b> (Deliberate and planned conversations)</p>	<ul style="list-style-type: none"> <li>▪ Identify and communicate tasks associated with change</li> <li>▪ Engage employees in building processes or systems to support the work</li> </ul>	<ul style="list-style-type: none"> <li>▪ Communicate to employees the need for change</li> <li>▪ Share the vision for change</li> <li>▪ Secure buy in and support for change by listening to and validating expressions of emotion</li> <li>▪ Foster participation through communication</li> </ul>
<p><b>Re-Framing Work</b> (Explain and reinforce purpose and key elements of organizations' work)</p>	<ul style="list-style-type: none"> <li>▪ Reframe work by explaining how new work links to organizational mission and objectives</li> <li>▪ Design organizational processes that induce new work patterns</li> <li>▪ Evaluate and refine processes by setting performance standards</li> </ul>	<ul style="list-style-type: none"> <li>▪ Re-frame work by explaining how new roles link to a new approach to work</li> <li>▪ Validate issues and interests of employees</li> </ul>

<p><b>Clarifying Roles</b> (Explain how new roles reinforce organizational goals and shape a common identity that will advance the work of the organization)</p>	<ul style="list-style-type: none"> <li>▪ Clarify roles by explaining new task requirements</li> <li>▪ Relate new tasks to the organizational mission and goals</li> </ul>	<ul style="list-style-type: none"> <li>▪ Gain support for new work routines through interpersonal interactions</li> <li>▪ Help employees to rise above their own interests and focus on a common organizational goal</li> </ul>
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## 7 Applicability & Transferability

### *Political Acceptability*

There is a general understanding of the need for middle managers to have expertise in managing change. There is recognition that PPH is undergoing massive change that is triggered by nine strategic directions. The importance of these changes is further reinforced as four of the strategic directions are identified as Term of Council Priorities. Both focus group data and comments from leaders at the Leadership Bootcamp confirm that front line staff, as well as their supervisors and managers, are struggling to develop and articulate a coherent understanding of all the changes. This understanding must be further clarified as the strategic directions continue to take shape and build momentum. In addition, management must be able to direct staff towards appropriate tasks and processes that will advance the strategic priorities.

Finally, it is well understood from the BEST survey that staff prefer to have information come to them via their direct supervisor. Supervisors and their managers agree that they must have clear understanding of the changes and must be able to take appropriate action to ensure that change makes sense to their employees and is embedded in routine work.



## ***Uncertainty about Another Change Management Program***

Despite this acknowledgement of the importance of being able to ‘manage change’ there is a concern that training on change management has been provided already by the corporation. Any new ‘change management’ training should interface well with already established Regional programs. All managers are familiar with the Regional ADKAR program, put forward by the PROSCI change management group. This model speaks to building Awareness, Desire, and Knowledge of the change and is most helpful when ‘the change’ is specific and easily articulated. Some supervisors in the A and T meeting felt that they are waiting for direction from their leaders on how to implement the change; they do not always see that they must be architects of the change process themselves. This speaks to their unfamiliarity with large scale, guided change and to the inadequacy of change management tools that do not take into account complex, uncertain and changing circumstances. Middle managers must be able to understand the anticipated outcomes of the changes and take incremental steps to move their staff in the right direction.

Most managers identified they were using the practices of engaging in dialogue, reframing work and clarifying roles. However, they also noted their need to further develop the ability to perform these conversations equally well from both a task and person based foundation. They also agreed that these practices could be enhanced by applying comprehensive knowledge of organizational and individual context prior to these conversations. They expressed concerns about how to:

- build their task-based repertoire to be able to direct staff about ‘what to do’ and explain changes in work routines

- translate change for staff resistant to change, specifically, the ability to ‘reframe work’ and have staff buy-in to the change

### ***Cost and Methodology of Training and Development***

Time was the greatest ‘cost’ identified by the participants. Supervisors and managers report being overloaded with required training. The fall of 2011 was frequently cited as a situation of overload for these managers and supervisors. They were uncertain about the value of a new, stand-alone change program that had mandated attendance and little immediate applicability. Participants were most enthusiastic about a mentored, ‘coming alongside’ development approach, that provided coaching for change management in a ‘just in time’ way. Managers also suggested that any training be strongly supported by senior leadership and build quickly on the momentum of Leadership Bootcamp.

### ***Organizational Expertise to Deliver Training***

Organizational expertise to provide training and development could be developed in the Education & Research Team. The new Advisor position has a key responsibility to build supervisor and manager development opportunities. In addition, Research and Policy Analyst for Public Health Nursing Practice will take part in this work. These resources could make use of valid and reliable training curricula already developed or engage further expertise from academic colleagues. Pilot sessions should be developed and grown incrementally. In addition, appropriate evaluation metrics need to be developed, answering questions such as:

- What are the measurable, observable behaviours required of middle managers?
- Has the training had an impact upon front line staff?

- What value does middle management change management development add to PPH's strategic directions?

## **8 Suggested Next Steps for the Manager Education and Research:**

1. Source a valid and reliable tool and use it to assess middle managers aptitudes and behaviours on a task-person continuum.
2. Identify and implement activities and training that will build either task or person focused skill or behaviour in middle managers, as identified by the assessment.
3. Continue work to build middle managers knowledge of the organizational context.
4. Identify and document existing supervisor skill in developing knowledge of employee individual context.
5. Develop and implement curricula that develop skill in three essential practices: dialogue, reframing and clarifying roles.
6. Develop and implement an evaluation plan to assess the effectiveness of the program.

## References

1. Balogun, J., Gleadle, P., Hailey, V., & Wilmott, H. (2005). Managing change across Boundaries: Boundary-shaking practices. *British Journal of Management*, 16, 261-278.
2. Battilana, J., Gilmartin, M., Sengul, M., Pache, A., & Alexander. (2010). Leadership competencies for implementing planned organizational change. *The Leadership Quarterly*, 21, 422-438.
3. Ospina, S., & Foldy, E. (2010). Building bridges from the margins: The work of leadership in social change organizations. *The Leadership Quarterly*, 21, 292-307.
4. Rouleau, L., & Balogun, J. (2011). Middle managers, strategic sensemaking, and discursive competence. *Journal of Management Studies*, 48(5), 953-983.
5. Rouleau, L. (2010). Studying strategizing through narratives of practice. In Golsorkhi, D., Rouleau, L., Seidl, D., and Vaara, E. (Eds). *Cambridge Handbook of Strategy as Practice*. Cambridge: Cambridge University Press, 258-270.

## **Appendices**

**Appendix A: Final Conceptual Model of Review Findings**

**Appendix B: Search Strategy**

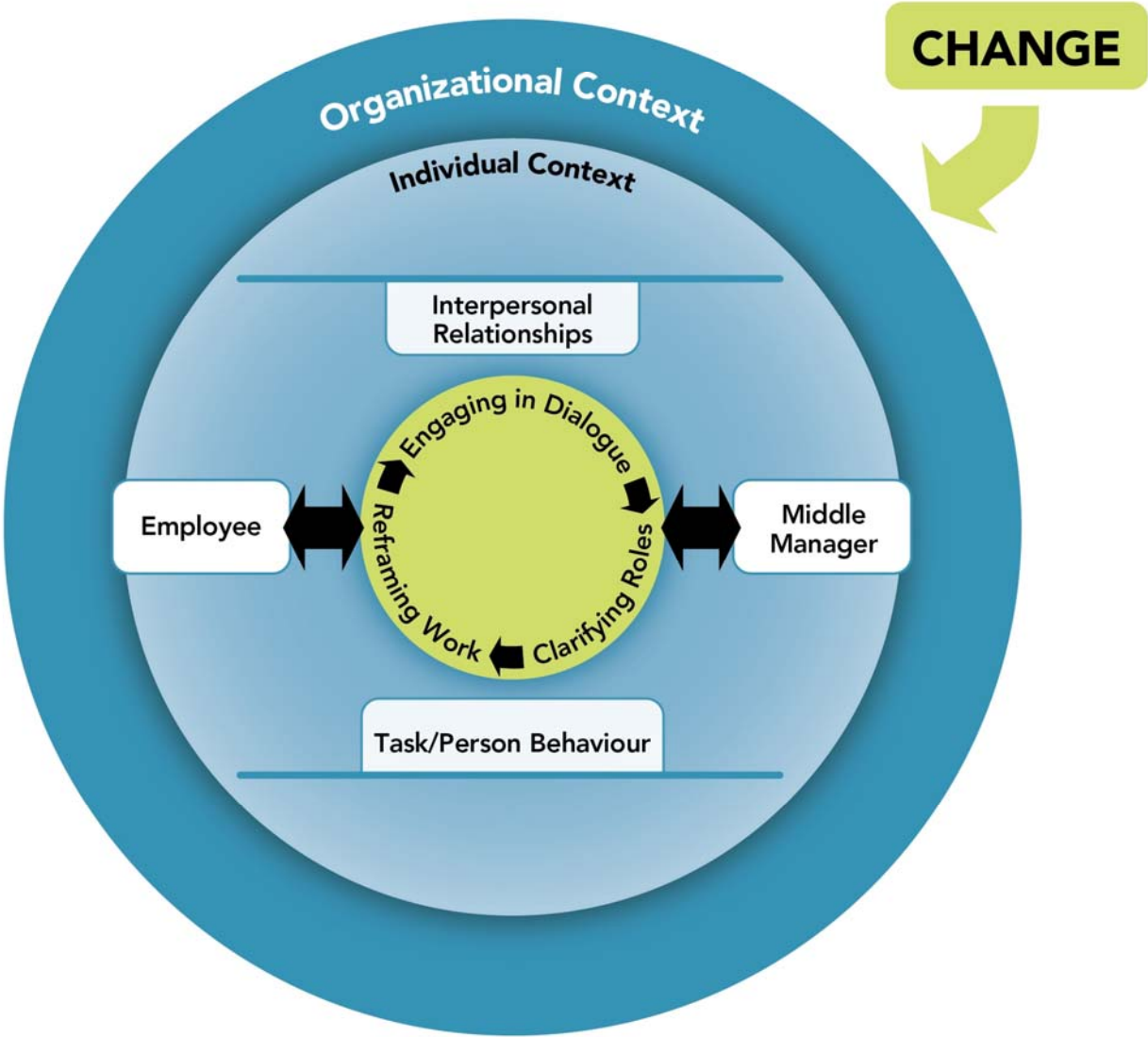
**Appendix C: Search Result**

**Appendix D: Data Extraction Tables**

Appendix A: Final Conceptual Model of Review Findings

# Managing Complex Change

## Essential Practices & Behaviours of Middle Managers



# Appendix B: Search Strategy

## Electronic Databases

### ABI Inform Search-Results 114 Hits

Subject (middle management or supervisors) or TITLE (middle manag\* or supervisor\* or leadership) AND subject (leadership training or training or behaviour or management skills) OR (abilities or behaviour\* or behavior\* or capacities or practice\* or qualities or "management style" or capacity or toolbox or toolkit or competencies) And subject (management of change or organizational change) or TITLE (change or "change management" or "organizational change") AND language English AND published 2006 to present.

### Health Business Elite- Results 79 Hits

(leadership in the title or middle manag\* in the title ) and change in the title and limited to 2006 onwards

### PsycINFO database - Results 8 Hits

Database: PsycINFO <2002 to October Week 3 2011>

Search Strategy:

- 
- 1 leadership.ti. (6908)
  - 2 middle manage\*.ti. (81)
  - 3 exp Organizational Change/ (4360)
  - 4 exp leadership/ or exp leadership qualities/ or exp leadership style/ (12254)
  - 5 middle level managers/ (259)
  - 6 1 or 2 or 4 or 5 (12630)
  - 7 3 and 6 (513)
  - 8 public sector.tw. (1865)
  - 9 7 and 8 (12)
  - 10 limit 9 to yr="2006 - 2012" (8)
  - 11 from 9 keep 1-12 (12)

\*\*\*\*\*

### CINAHL/Medline Search Strategy- Results 105 hits

1	Organizational culture/or change management	11266
2	middle managers.mp or Nursing, Superviosry/	7907
3	skill development.mp	647
4	1 and 2	396
5	middle management practice.mp	0
6	3 and 4	0
7	practice.mp	534157
8	4 and 7	105

## Grey Literature Search

*What are the 'essential' practices required of middle management that will increase their capacity to effectively lead complex change?*

Name	Date	Website	Terms	# of Hits (274)	# Retrieved	Level of Evidence	# Kept after filtering through Incl/Excl Criteria	Retrieved
Cyndy	Sept 26/11	Health Systems Evidence (McMaster) <a href="http://www.healthsystemsevidence.ca">www.healthsystemsevidence.ca</a>	Implementati on strategy (organization targeted strategy) AND All types of syntheses AND Any type of question AND 'Change Management' (exact phrase) AND 2006-2011 *(practice change and organizational change produced the same results using 'any word')	21	2	Overview of Systematic Reviews	0	<b>Promoting and Embedding Innovation: Learning from Experience</b> Williams, I., deSilva, D., & Ham, C. (2009). University of Birmingham. Health Services Management Centre <a href="http://www.birmingham.ac.uk/schools/social-policy/departments/health-services-management-centre/publications/publications-archive.aspx">http://www.birmingham.ac.uk/schools/social-policy/departments/health-services-management-centre/publications/publications-archive.aspx</a>
						Systematic Review	0	<b>*The Effectiveness of Strategies to Change Organisational Culture to Improve Healthcare Performance</b>  Parmelli E, Flodgren G, Schaafsma ME, Baillie N, Beyer FR, Eccles MP. Cochrane Database Syst.Rev. 2011(1):Art. No.: CD008315. DOI: 10.1002/14651858.CD008315.pub2.
Cyndy	Sept 29/11	Ivey Business School, UWO (Case Sales/Publishing/Browse Catalogue/Organizational	'Change Management' (Best Sellers)	73	1	Expert Opinion	0	<b>What Leaders really Do</b> (Kotter, 2007-HBR) <a href="https://www.iveycases.com/ProductView.aspx?id=36094">https://www.iveycases.com/ProductView.aspx?id=36094</a>



		Behaviour/Leadership) <a href="https://www.iveycases.com/?aspxerrorpath=/cases/pages/home.aspx">https://www.iveycases.com/?aspxerrorpath=/cases/pages/home.aspx</a>						-Leadership and management are different
	<b>Date</b>	<b>Website</b>	<b>Terms</b>	<b># Hits</b>	<b># Retrieved</b>	<b>Level of Evidence</b>	<b># Kept after filtering through Inc/Excl Criteria</b>	<b>Retrieved</b>
			'Organizational Change' (exact Match) (Best Sellers)	49	0		0	-None of relevance to practices of change management
			Leading change (exact match)	27	2	Book Chapter (Leading with Authenticity in Times of Transition, 2005)	0	<p><b>*The Balance Needed to</b> (Bunker, K &amp; Wakefield, M, 2008-Harvard Management update) <a href="https://www.iveycases.com/ProductView.aspx?id=26355">https://www.iveycases.com/ProductView.aspx?id=26355</a> -Tension between managing business and people issues</p> <p><b>How GE Teaches Teams to Lead Change</b> (Prokesch, Steven, E., 2009 – HBR) -Hard (organizational) and soft (behavioural) barriers to change <a href="https://www.iveycases.com/ProductView.aspx?id=27655">https://www.iveycases.com/ProductView.aspx?id=27655</a></p> <p><b>Leadership that gets results</b> (Goleman, 2000, 78(2)- HBR) -6 different leadership styles arising from different components of EI <a href="https://www.iveycases.com/ProductView.aspx?id=35691">https://www.iveycases.com/ProductView.aspx?id=35691</a></p>
			(Best Sellers)	34	1	Expert Opinion	0	

			Middle Managers (exact match)	57	1	Single Study	0	<b>Middle Manager as Innovator</b> (Kanter, R.M., 2004, 82(7/8)-Harvard Business Review Article) <a href="https://www.iveycases.com/ProductView.aspx?id=37536">https://www.iveycases.com/ProductView.aspx?id=37536</a> -Characteristics of entrepreneurial middle managers
Cyndy	Sept 29/11	Queen's School of Business <a href="http://business.queensu.ca/faculty_and_research/publications.php">http://business.queensu.ca/faculty_and_research/publications.php</a>		1	1	Single Study	0	<b>Emotional intelligence and leadership emergence in small groups.</b> Cotes, S., Lopes, P.N., Salovey, P. & Miners, C.T.H. (2010). <i>Leadership Quarterly</i> . 21, 496-508. -Addresses leadership within groups
	<b>Date</b>	<b>Website</b>	<b>Terms</b>	<b># Hits</b>	<b># Retrieved</b>	<b>Level of Evidence</b>	<b># Kept after filtering through Incl/Excl Criteria</b>	<b>Retrieved</b>
Cyndy	Oct 3/11	Hand Search of Leadership Quarterly 2010/2011		3	3	Single Study  Single Study  Single Study	1 (Duplicate)  1 (Duplicate)  0	<b>Leadership competencies for implementing planned organizational change.</b> <i>Leadership Quarterly</i> . 21, 422- 438. Battilana, J., Gilmartin, M., Sengul, M., Pache, A., & Alexander, J.A. (2010). -Addresses leadership competencies within middle managers executing change in health organizations  <b>Building bridges form the margins: The work of leadership in social change organizations.</b> <i>Leadership Quarterly</i> . 21, 292-307. <b>Ospina, S. &amp; Foldy, E. (2010)</b> -Addresses leadership practices to foster relational bonds and accomplish org mission.  <b>Communicating collaborative leadership.</b> <i>Leadership Quarterly</i> . 22, 1024-1037. Kramer, M.W. & Crespy, D.A. (2011). -Addresses leaders within groups in an arts context
Cyndy	Sept	NHS Institute for	Leadership	2	2	WorkBook	0	<b>Sustaining Improvement</b>

	30/11	Innovation and Improvement (Leadership/Publications) <a href="http://www.institute.nhs.uk/index.php?option=com_joomcart&amp;Itemid=194&amp;main_page=index&amp;cPath=66&amp;Joomcartid=m7ouoldjlp03v8h0f2op0k6l3">http://www.institute.nhs.uk/index.php?option=com_joomcart&amp;Itemid=194&amp;main_page=index&amp;cPath=66&amp;Joomcartid=m7ouoldjlp03v8h0f2op0k6l3</a>	(Productive Leader Link)  Quick Link to Culture for Innovation				0	<a href="http://www.institute.nhs.uk/index.php?option=com_joomcart&amp;Itemid=194&amp;main_page=document_product_info&amp;cPath=82&amp;products_id=528&amp;Joomcartid=jf1qbt4d4ujcm3j8lp6p057c46">http://www.institute.nhs.uk/index.php?option=com_joomcart&amp;Itemid=194&amp;main_page=document_product_info&amp;cPath=82&amp;products_id=528&amp;Joomcartid=jf1qbt4d4ujcm3j8lp6p057c46</a>  <b>Creating a Culture for Innovation- Practical Guide for Leaders</b> <a href="http://www.institute.nhs.uk/building_capability/new_model_for_transforming_the_nhs/culture_for_innovation.html">http://www.institute.nhs.uk/building_capability/new_model_for_transforming_the_nhs/culture_for_innovation.html</a>  *Only available for purchase in the UK
	Sept 30/11	Institute for Work & Health		0	0	Systematic reviews	0	Irrelevant. publications r/t OH&S and workplace injury
	<b>Date</b>	<b>Website</b>	<b>Terms</b>	<b># Hits</b>	<b># Retrieved</b>	<b>Level of Evidence</b>	<b># Kept after filtering through Incl/Excl Criteria</b>	<b>Retrieved</b>
Cyndy	Oct 4/11	The Centre for Creative Leadership <a href="http://www.ccl.org">www.ccl.org</a> (Educational Institution, NC, USA)		2	2	White Papers	0	Innovation Leadership <a href="http://www.ccl.org/leadership/research/sharing/index.aspx">http://www.ccl.org/leadership/research/sharing/index.aspx</a>  Making Leadership Happen <a href="http://www.ccl.org/leadership/research/sharing/index.aspx">http://www.ccl.org/leadership/research/sharing/index.aspx</a>
Monica	Sept 28/11	Rotman School of Business, University of Toronto <a href="http://www.rotman.utoronto.ca/strategy/">http://www.rotman.utoronto.ca/strategy/</a>	Transformational leadership, change strategy, change management	1	1	Editorial	0	<b>Title:</b> Transforming Health Care Organizations <b>From:</b> Healthcare Quarterly (2006), 10, 10-19.
Monica	Sept	Prosci: ADKAR	Change	1	1	Toolkit	0	<b>Title:</b> Excerpt from Prosci's Change

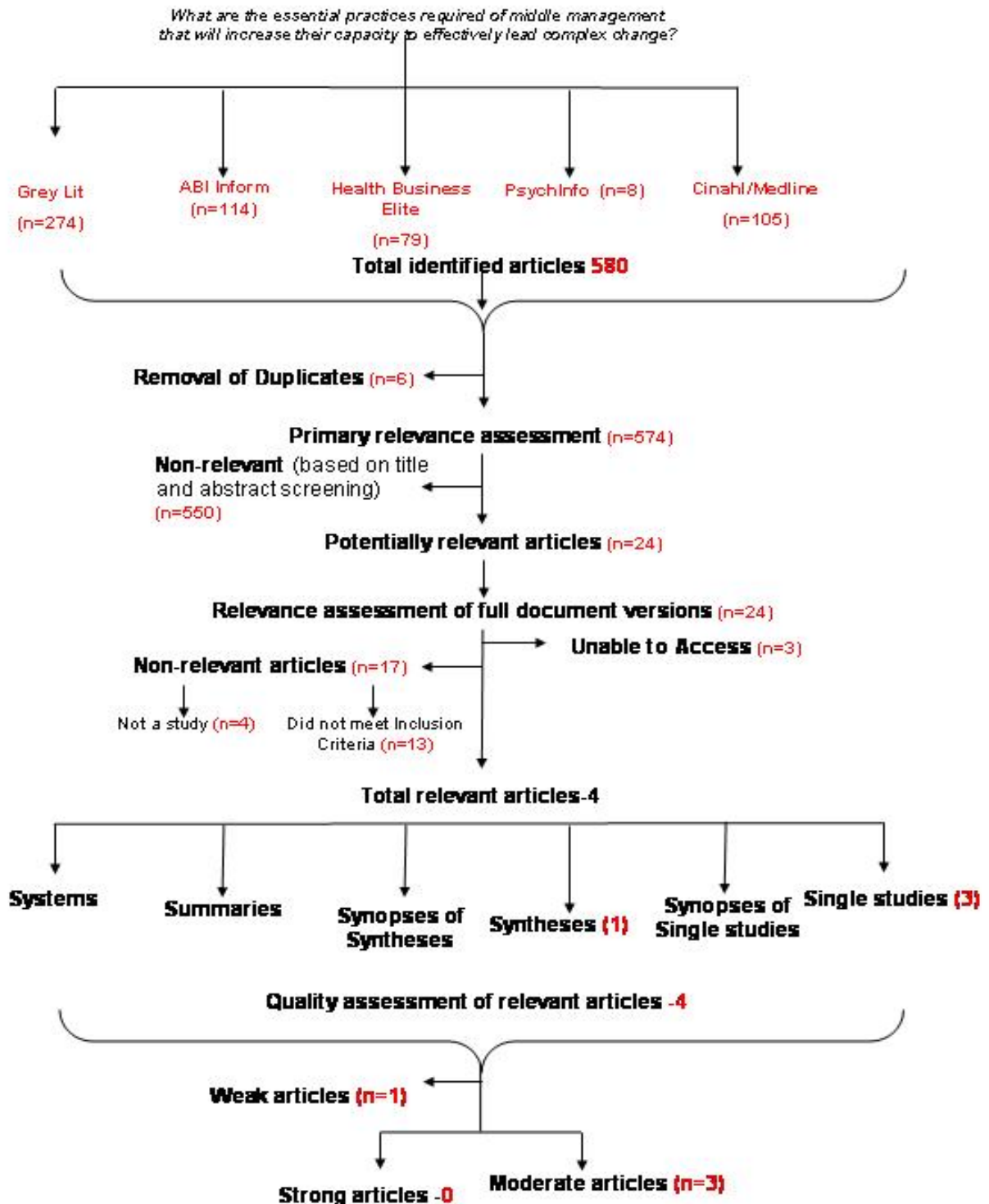
	28/11	Change management training <a href="http://www.change-management.com/aboutprosci.htm">http://www.change-management.com/aboutprosci.htm</a>	management					Management Guide for Managers and Supervisors, 2008
Monica	Sept 28/11	CHSRF <a href="http://www.chsrf.ca">www.chsrf.ca</a>	Change management	1	1	Single Study	0	<b>Title:</b> Organizational Change in Healthcare with special reference to Alberta <b>From:</b> Golden-Biddle, K., Hinings, C.R., Casebeer, A., Pablo, A., Reay, P. (2006)
				1	1	Toolkit	0	Change Management InfoKit
Monica	Sept 28/11	Fuse UK <a href="http://www.fuse.ac.uk/knowledge-exchange-in-public-health-conference-11-12-april-2011/Presentations">http://www.fuse.ac.uk/knowledge-exchange-in-public-health-conference-11-12-april-2011/Presentations</a>	Change management, healthcare, middle managers	1	1	Conference Presentat'n PowerPoint	0	<b>Title:</b> Organization, knowledge and the pursuit of excellence in healthcare. (2011) <b>From:</b> Denis, J-L. Canada Research Chair in Governance and Transformation of Health Organizations and Systems (GETOSS)

**Search Terms:** change management, organizational change, change strategy, leading change, leadership and middle managers.

**Inclusion:** 2006-2011, English, middle managers, leadership styles, qualities, behaviours, competencies, synopsis of systematic reviews, systematic reviews, single studies

**Exclusion:** innovation, clinically/hospital focused, editorial/opinion pieces, leadership frameworks, toolkits

## Appendix C: Search Result



Source: Health-evidence.ca. *Keeping Track of Search Results: A Flowchart*. [Retrieved January 13, 2010]

## Appendix D: Data Extraction Tables

<p><b>Author/Date:</b> <i>Battilana et al, 2010.</i> Leadership competencies for implementing planned organizational change</p> <p><b>Country:</b> UK</p> <p><b>Quality rating:</b> Moderate</p> <p><b>Applicability and transferability:</b> Yes. Study speaks to middle managers in a health care context that addresses preventive, primary and acute care</p>	<p><b>Types of study</b> Cross sectional survey</p> <p><b>Intervention settings:</b> National Health Service Organizations meeting a 10 year mandate to improve the quality, reliability, effectiveness, and value of healthcare services delivered to society</p> <p><b>Theoretical Frameworks</b> <i>Initiating structure and showing consideration model</i> that outlines the vast majority of skills that leaders engage in at the supervisory level (person and task based activities)</p> <p><b>Target groups</b> Middle and top managers (physicians, nurses, physiotherapists, podiatrists, dieticians, occupational therapists) in a variety of organizations within NHS including outpatient clinics (44%), hospital or secondary care organizations (45%), admin services (11%)</p>	<p><b>Description of the study:</b> The authors study the relationship between managers' leadership competencies and the degree to which they emphasize specific organizational change activities. They use the framework of task and person oriented leadership behaviours in order to assess the managers. They intersect these leadership orientations with three key organizational change activities: 1) Communicating the need for change 2) Mobilizing others to support the change and 3) Evaluating the change implementation</p> <p>The authors collected data from 95 middle and top managers of multiple disciplines in 81 NHS organizations who attended a voluntary 2 week leadership executive education program. This program was attended just prior to their implementation of an organizational change project</p> <p>Leadership competencies of the managers were assessed using the Global Leadership Life Inventory (GLLI) scale, 3 months before attending the program and prior to project implementation</p> <p>12 months after the change project implementation the managers were surveyed to measure their use of the three organizational change activities (communicating, mobilizing and evaluating) Data for 6 participants were incomplete at the end of the study</p>	<p><b>Results</b> 1) Leaders who are more effective at task oriented behaviours are more likely to focus on both the mobilizing and evaluating activities associated with planned organization change 2) Leaders who are more effective at person oriented behaviours are more likely to focus on the communication activities of planned organizational change</p> <p><b>Secondary Outcomes</b> Leaders with greater <i>tenure</i> in their position, at National or Regional Levels, are more likely to focus on evaluation activities</p> <p>Leaders implementing projects in <i>large organizations</i> were more likely to emphasize communication activities associated with planned org change projects.</p> <p>Leaders with more <i>Management education</i> are less likely to focus on mobilizing activities.</p>	<p><b>Strengths</b> Used multiple regression analysis to account for confounding variables that would influence leader behaviours</p> <p>Leaders' self report bias was managed through a regression analysis</p> <p><b>Limitations:</b> Exploratory design Participants self-selected into the leadership education program</p> <p>The communicating-mobilizing-evaluating model of activities does not address the full complexity of the change process, which involves a multitude of activities</p>
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<p><b>Author/Date:</b> <i>Ospina &amp; Foldy, 2010.</i> Building bridges from the margins: The work of leadership in social change organizations</p> <p><b>Country:</b> US</p> <p><b>Quality rating:</b> Moderate</p> <p><b>Applicability and Transferability:</b> Yes. Organizations studied focused on implementing public policy or managing public programs working with scarce resources to influence behaviour.</p> <p>-Organizations engaged governments in their work to pursue change</p>	<p><b>TYPE</b> Single study Qualitative</p> <p><b>Inclusion and Exclusion Criteria</b> Selection criteria for inclusion in the Leadership Recognition: Program was rigorous, participants had to meet the criteria of being strategic, bringing different groups together and demonstrating the ability to bring about positive change</p> <p><b>Intervention settings:</b> Multiple non-profits engaged in social change and operating in uncertain environments, characterized by material scarcity, social divides and different ideas about what constitutes change/success</p> <p><b>Theoretical Frameworks</b> Practice theory helps to operationalize the social construction of leadership and provides a way to break down the joint work of leaders and followers as they accomplish their mission</p> <p><b>Target groups</b> Leaders in non-profit organizations enacting social change</p>	<p><b>Description of the study:</b> -Over the course of 5 years leaders in 40 non-profit organizations, who were Leadership Recognition Program awardees, were interviewed to explore how they secured the connections needed for collaborative work to advance their organization's mission</p> <p>The interview protocol asked participants which factors facilitated/imposed their organization's efforts to excel, why they identified particular dimensions of their work as important and what could be improved.</p> <p>The interviews were used to elicit narratives that focused on what leaders did that produced each organizations' achievements</p> <p>Authors conducted 2 sets of group interviews in each organization: 1 with leader awardees and 1 with stakeholders (including staff, board members, constituents, and occasional public official). Sometimes individuals were interviewed alone. On average, 8-9 people were interviewed per organization</p> <p>Data were drawn for analysis from the first 2 years of the study</p>	<p><b>Results</b> Five leadership practices that foster relational bonds within organizations to ensure connectedness</p> <p><b>Cognitive shifts-</b> represent how employees re-interpret important elements of their work -Cognitive shifts can create a shared interest which is vital to building alliances and framing issues in ways that resonate with the needs of others.</p> <p><b>Naming and shaping identity</b> - can reconcile differences and create more powerful alliances with leader and organizational perspectives to advance the work of the organization -Enables individuals to see commonalities and understand a shared vision</p> <p><b>Engaging Dialogue about Difference-</b> allows interpersonal relationships to be nurtured and the opportunity for people to express their diverse needs and goals so that they can engage in collective action -Dialogue (deliberate) as opposed to discussion (informal), creates shared understanding</p> <p><b>Creating equitable governance mechanisms-</b>through structures and processes can ensure equal engagement and unify members of an organization through ownership of outcomes</p> <p><b>Weaving Multiple Worlds Together through interpersonal relationships</b> -Using interpersonal relationships to manage the internal environment. Meaning making occurs through relationship</p> <p><b>Secondary outcomes</b> Shared interests are crucial to building alliances and meeting the needs of the individuals, constituents and organizations It is essential to address conflicting needs, interests and goals to develop a common vision and shared agenda. Finding ways to allow the expression of different beliefs and feelings can bring people together "Bridging" is a relational strategy that connects multiple, diverse perspectives. It is based on governance structures that are fair representative and inclusive to foster productive interactions among members</p>	<p><b>Strengths:</b> Conducted a thorough data analysis beginning with summaries, followed by identification of themes, identification of individual practices and lastly a broadened understanding</p> <p>Several research teams Researchers not involved in the selection process of participants</p> <p><b>Limitations:</b> Participants selected were part of a leadership recognition program.</p> <p>Could not connect the practices to outcomes</p>
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<p><b>Author/Date:</b> <i>Rouleau &amp; Balogun, 2011.</i> Middle Managers, strategic sense-making and discursive competence</p> <p><b>Country:</b> Canada</p> <p><b>Quality rating:</b> Moderate</p> <p><b>Applicability and Transferability</b> Yes. The study addresses the middle managers' role in strategic activities related to organizational change regardless of sector.</p>	<p style="text-align: center;"><b>TYPE</b></p> <p>Synthesis of two qualitative studies</p> <p>First study explores the identity transformation of middle managers carrying out organizational restructuring using a biographical design</p> <p>Second study explores how middle managers operate when delivering change across an organization using a case study design</p> <p><b>Inclusion and Exclusion criteria</b></p> <p>In the first study- Participants recruited through expert opinion (personal contacts- MBA class and a firm specializing in executive career management)</p> <p>In the second study- 3 individuals per organization were recruited who met the definition of boundary shakers (tasked with implementing corporate change initiatives across the organization that required realignment to existing organizational boundaries) and who had responsibility for delivering the change initiative</p>	<p><b>Description of the study:</b></p> <p>- The authors explored how middle managers undergoing organizational change in public and private sectors enacted strategic roles assigned to them and the activities they enacted to make sense of the changes</p> <p>-Narratives, interviews and focus group data from 2 previous studies were: i) analyzed and compared to theory ii) synthesized to expand an understanding of the activities managers' engage in to make sense of organizational change.</p> <p><b>Intervention settings:</b></p> <p>-Radio Canada; -Multi-nationals (automotive, consulting, pharmaceutical)</p> <p><b>Theoretical Frameworks</b></p> <p>-Grounded Theory</p>	<p><b>Results</b></p> <p>A framework of two interrelated discursive* activities managers use to make sense of and interpret organizational change: *Discursive competence is defined as 'the ability to craft and share a message that is meaningful within the context of the organization'</p> <p><b>i) Performing the Conversation (Interpretation)</b> Managers engage, formally and informally, in deliberate conversations with others to 'draw them into' their agenda. There is a conscious intention to influence others through conversation and it provides the vehicle for developing interpretations of what the change is about</p> <p><b>ii) Setting the scene(Making sense)</b> This action emphasizes the relational aspect of 'making sense of' change. Managers use their knowledge of the cultural and social context of the organization and specific language with different stakeholders, to build acceptance of their position</p> <p><b>Secondary Outcomes</b></p> <p>Those who have discursive competence may be the most able to contribute strategically</p> <p>Those who are socialized to the culture are more effective at using tacit knowledge to influence others</p> <p>Strategic sense-making by middle managers is accomplished through their ability to craft messages using their tacit knowledge</p> <p>Middle management sense-making occurs through a relational context</p> <p>Middle management sense-making is more likely to be influential if they:</p> <ul style="list-style-type: none"> <li>-are able to anticipate <u>social cues</u> that connect with the interests of others</li> <li>-can identify and mobilize <u>alliances</u> through forums that allow them to connect with the interests of others</li> <li>-are able to invoke their knowledge of <u>organizational culture</u> subscribed to by others</li> </ul>	<p><b>Strengths</b></p> <p>Sampling methods and data management (coding, triangulation), were discussed in full in the primary studies.</p> <p><b>Limitations:</b></p> <p>Although authors were co-constructors of findings, they attempted to minimize this bias by using data from previous research projects</p>
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