

Creating Change In Mental Health Organizations

By

George W. Fairweather

David H. Sanders

Louis G. Tornatzky

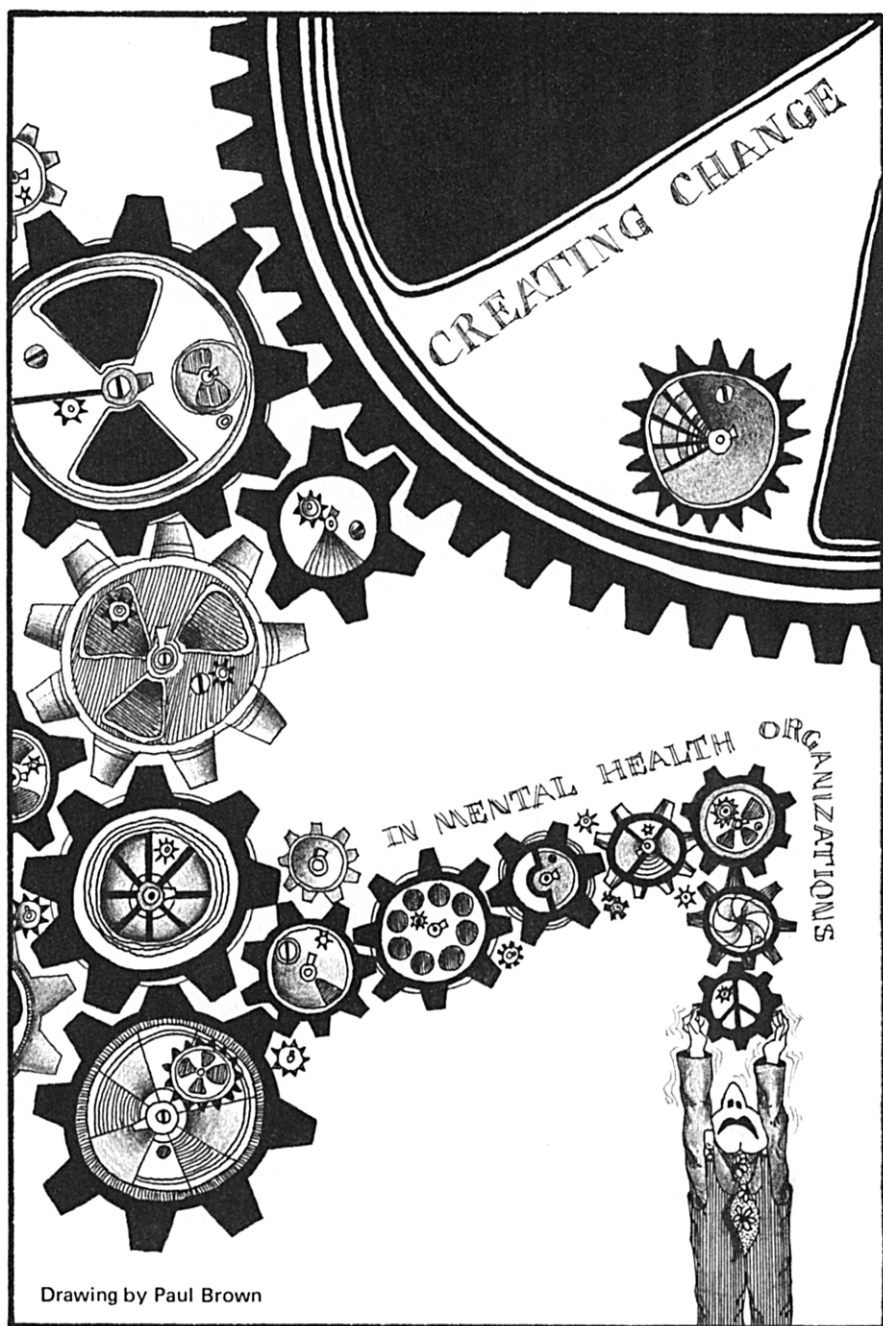
**Pergamon General
Psychology Series**

PERGAMON GENERAL PSYCHOLOGY SERIES

Editors: Arnold P. Goldstein, *Syracuse University*
Leonard Krasner, *SUNY, Stony Brook*

Creating Change in Mental Health Organizations

PGPS-42



Drawing by Paul Brown

Creating Change in Mental Health Organizations

GEORGE W. FAIRWEATHER

Michigan State University

DAVID H. SANDERS

*Assistant Commissioner of Health
Cincinnati, Ohio*

LOUIS G. TORNATZKY

Michigan State University

with

ROBERT N. HARRIS, Jr.

Rock Island, Illinois

PERGAMON PRESS INC.

New York · Toronto · Oxford · Sydney

PERGAMON PRESS INC.
Maxwell House, Fairview Park, Elmsford, N.Y. 10523

PERGAMON OF CANADA LTD.
207 Queen's Quay West, Toronto 117, Ontario

PERGAMON PRESS LTD.
Headington Hill Hall, Oxford

PERGAMON PRESS (AUST.) PTY. LTD.
Rushcutters Bay, Sydney, N.S.W.

Copyright © 1974, Pergamon Press Inc.

Library of Congress Cataloging in Publication Data

Main entry under title:

Creating change in mental health organizations.

(Pergamon general psychology series 42)

1. Community mental health services--
Administration. 2. Organizational change.

I. Fairweather, George William, 1921--

[DNLN: 1. Hospitals, Psychiatric--U.S.

2. Mental health services--U.S. WM30 F172c
1974].

RC439.C816 1974

362.2

73-13833

ISBN 0-08-017832-4 (S)

ISBN 0-08 017833-2 (H)

All Rights Reserved. No part of this publication may be reproduced, stored in retrieval system or transmitted in any form, or by any means, electronic, photocopying, recording or otherwise, without prior permission of Pergamon Press Inc.

Printed in the United States of America

Contents

Preface	vii
About the Authors	x
Chapter 1 The Need for Social Change in Treating Mental Illness	1
2 The National Experiment: Organizational Change Background and Research Plan	16
Organizational Change Background	16
Experimental Plan	28
3 The Process of Approach and Persuasion	43
Preliminaries to the Study	43
Development of Materials	46
Contacting the Hospitals	51
Lodge Implementation Decision	52
4 Factors Affecting the Decision to Adopt	76
Cluster Analyses of Approach-Persuasion Phase	80
5 The Process of Activating Adoption	104
Operation and Logistics of the Experimental Conditions	107
Advocacy by Manual	109
Advocacy Through Face-to-Face Consultation	118

6	The Essential Conditions for Activating Adoption	136
	The Effects of Action Consultation Contrasted with Written Manuals	138
	The Effect of Consultant Experience	140
	The Process of Action Consultation	141
	An Overview of the Data	144
	The Effects of Adoption	152
7	Follow-Up Diffusion of the Community Lodge	162
	Design of the Diffusion Phase Study	162
	Evaluation of the Diffusion Phase	164
8	Principles for Creating Change in Mental Health Organizations	181
	The Principle of Perseverance	182
	The Principle of Discontinuity and Independence	183
	The Principle of Outside Intervention	185
	The Principle of Action-Oriented Intervention	187
	The Foot-in-the-Door Principle	188
	The Limitations of Formal Power Principle	188
	The Principle of Participation	190
	The Principle of Group Action and Implementation	190
	The Principle that Resistance to Change Is Directly Proportional to the Social Status and Role Change Required by Innovation	191
	The Principle of Continuous Experimental Input	192
	The Principle of Activating Diffusion Centers	193
	Thoughts for the Change Agent	194
	Thoughts for Government People With Money	195
9	Social Policy Decisions Aimed at Solving Human Problems	198
	A Social Policy Alternative	203
	References	213
	Index	217

Preface

This book presents the results of a national experiment aimed at finding the parameters of social change in mental health organizations. While the experiment involves most mental hospitals in the nation, it is the hope of the experimenters that the groundwork has been laid for innovation utilization experiments that transcend the mental health area. For it is the firm conviction of the authors that the major survival issue man will have to solve in the latter part of the 20th century and in the 21st century involves changing his institutional practices, behaviors, and values in more innovative directions.

In order to complete this experiment it was necessary to involve 255 mental hospitals throughout the nation in various ways in an attempt to persuade them to adopt an innovative treatment method, the community lodge, which was established in previous research as a valid and helpful mental health program. This book presents the results of the study from a variety of perspectives: from the perspective of the experimenters themselves, from the perspective of the persons within the hospital who gave information about their involvement in the change processes, and from the perspective of others in certain hospitals who succeeded in finally establishing the lodge society. The problems faced by all the individuals on the research team and in the hospitals who attempted to establish the lodge society—some of whom failed and some of whom succeeded—cannot be overemphasized. Although the sorrow and happiness of people who failed and succeeded may not be clearly defined in the book, it is hoped that this background of emotion will be felt by the reader.

All research material has been edited to preserve anonymity. Fictitious names have been used throughout with some attempts to add humor to the descriptions of the various research activities. Identifying dates and the names of professional persons have been altered.

The authors have attempted to present the events that occurred in this major social change experiment in a longitudinal way. Thus, each successive step toward completion of the experiment is elaborated in terms of the sequential nature in which it occurred. The authors have described the background for the experiment in Chapters 1 and 2. They have attempted to capture the flavor of the experiment, particularly in Chapters 3 and 5. In Chapters 4, 6, and 7 the quantitative results are given. Finally, a summary of the results in the form of operating principles or guidelines for social change is presented in Chapter 8 while Chapter 9 offers a broadened view of social policy decision making.

No longitudinal, naturalistic field experiment of this kind could be carried out without the involvement and dedication of a large number of people. We cannot name all of those who have made a significant contribution to this study, nor can we adequately recognize all those who have had a meaningful involvement in it. But to all of them we are deeply indebted and express our gratitude. Some persons and organizations contributed so much to the total project that, despite the injustices imposed by the brevity of the recognition, their names deserve special mention. We are indebted to NIMH which funded the project under Grant No. 7 R12 MN17888-01 that provided the financial support. The late Dr. Thomas Kennelly aided the project in its initial stages by engaging in many discussions about the manner in which social changes might occur in large mental health organizations. To Helen Pearson and Dorothy Bleck, two of the early researchers, we express our deepest gratitude for their help in getting the project off the ground. Drs. Roger Jennings, David L. Cressler, Hugo Maynard, as well as Larry Gerstenhaber, Jeffrey Taylor, and Ladd McDonald traveled extensively throughout the nation in their attempts to help implement the lodge program. Their careful attention to research details and their devotion to the research cannot be overvalued. Without their help this project could not have been completed.

For the usual daily hard work, other persons have made an equal but different contribution. We are especially indebted to Sharon Doolittle who helped manage the early part of the research study when a great deal of traveling was done. Difficulties in making arrangements and last-minute changes in itinerary were commonplace. She effectively handled all aspects of the job and to her we are deeply grateful. We are also grateful to

Mrs. Gudrun Gale who helped manage the research study in its latter phases and was responsible along with Mrs. Marjorie Curtis for the typing of this manuscript. We applaud Mrs. Gale and Mrs. Curtis for their admirable handling of the problems faced by Mrs. Doolittle, for their tolerance of the incessant chatter of researchers and for their ability to survive the difficult hours as victims of their search for perfection.

But among those who are most deserving of our gratitude are the ex-patients and staffs who marched out the hospital gates to establish residence in new community lodges. Their hard work and willingness to engage in this adventurous activity was an integral and essential part of the study. Most of all we were inspired by the willingness of these small groups of motivated and humane individuals to withstand the pressures from their peers to conform and by their ability to slice through bureaucratic redtape that is one of the keys to essential social change.

G. W. F.
D. H. S.
L. G. T.

About the Authors . . .

George W. Fairweather (Ph.D., University of Illinois) is Professor of Psychology and also of Urban Affairs and is Director of the Ecological Psychology Program at Michigan State University. He has been Principal Investigator of NIMH research projects co-sponsored by Stanford University and the Veterans Administration, 1963–67; by Portland State University, 1967–69; and Michigan State University, 1969–71. Dr. Fairweather has also worked as a research psychologist at VA Hospitals in Palo Alto, California; Perry Point, Maryland; and Houston, Texas and is the author or co-author of many professional journal articles and books. He is a member of Phi Kappa Phi and the American Psychological Association.

David H. Sanders (Ph.D., Adelphi University) is Assistant Commissioner of Health, Division of Mental Health, Cincinnati, Ohio. He has been a clinical and counseling psychologist at the VA Hospital in Palo Alto, California, Research Associate, Stanford University, and Associate Professor in the Departments of Psychiatry, Psychology, and Community Medicine at Michigan State University, and from 1967 to 1969 has worked with Dr. Fairweather as Project Director, NIMH-Portland State University Research Utilization Project. He has contributed many articles and books to the psychological literature and is a member of numerous psychological associations.

Louis G. Tornatzky, Jr. (Ph.D., Stanford University) is Associate Professor in the Departments of Urban & Metropolitan Studies and Psychology at Michigan State University. He is involved in research exploring interorganizational relations, organizational change, and the evaluation of social programs. From 1969 to 1971 he has worked with Dr. Fairweather as Project Manager, Michigan State University-NIMH Research Utilization Study. He has authored or co-authored many important professional papers.

CHAPTER 1

The Need for Social Change in Treating Mental Illness

Man's unchanging patterns of behavior have created an ever-increasing number of crises in contemporary societies. Environmental degradation continues to worsen, population grows at a rate that almost insures a reduction in the quality of man's life, racial tensions routinely explode into violence in the urban centers and, yet, man continues to behave in ways that tend to perpetuate these problems. It appears daily more obvious that for man's survival and an improvement of his quality of life, continuing change is required in his daily patterns of living. But when change is needed, even when his survival depends upon it, man appears increasingly unable to act in constructive ways. It seems that his patterns of behavior have become so very difficult to change because they are continuously reinforced by the mores and folkways of large and unchanging social institutions. Through their social roles and statuses these organizations maintain a consistency of attitudes, values, and behaviors whose main *raison d'être* is to preserve the status quo (LaPiere, 1965).

Unfortunately, man has given little thought to how he might change his institutions. He typically responds to crises by postponing constructive actions or by implementing *ad hoc* solutions. The practice in democratic societies of constituting a committee as an alternative to constructive action is well known to every concerned citizen. The Kerner Report, The Report of Violence in America, The President's Commission Report on Nutrition, and the recent Report on Campus Unrest in the American University—all attest to the emergence of committees at the time of crises. Most such committee reports are found gathering dust within several months after they have been written, and *ad hoc* solutions to survival